ADULT EDUCATION
WORKS
IN INDIANA

INDIANA

Indiana Department of Education / Division of Adult Education

Handbook for Administrators
of
Adult Education

INDIANA

John R. Craddock, Retired, Ball State University
John R. Craddock Award Recipient 1999

Handbook for Administrators
of
Adult Education

First Edition: Fall 2006

Indiana Department of Education / Division of Adult Education

Policy Notification Statement

It is the policy of the Indiana Department of Education not to discriminate on the basis of race, color, religion, sex, national origin, age, or disability, in its programs, activities, or employment policies as required by the Indiana Civil Rights Law (I.C. 22-9.1), Title VI and Title VII (Civil Rights Act of 1964), the Equal Pay Act of 1973, Title IX (Educational Amendments), Section 504 (Rehabilitation Act of 1973), and the Americans with Disabilities Act (42 USCS § 12101, *et. seq.*).

Inquiries regarding compliance by the Indiana Department of Education with Title IX and other civil rights laws may be directed to the Human Resources Director, Indiana Department of Education, Room 229, State House, Indianapolis, IN 46204-2798, or by telephone to 317-232-6610, or the Director of the Office for Civil Rights, U. S. Department of Education, 111 North Canal Street, Suite 1053, Chicago, IL 60606-7204

--- Dr. Suellen Reed, State Superintendent of Public Instruction

Photos

Pictured on the cover and policy statement page: **Dr. John R. Craddock**

In 1999, the Indiana Association of Adult and Continuing Education (IAACE) created a special award to honor a legend in Adult Education, John R. Craddock. His years of dedication to lifelong learning date back to 1959 when he developed and offered the first two graduate courses in Adult Education at Ball State University. In 1962, he was asked by the Indiana Superintendent of Public Instruction to establish the first Division of Adult Education in the State Department of Education where he became the first director.

Dr. Craddock helped create the Adult Education Master's Degree and Doctoral programs at Ball State University and is one of the founding members of the Indiana Association of Adult and Continuing Education, which combined two existing adult and community education associations into one membership. His years of service and dedication to lifelong learning are why he was presented with a special award in 1999, aptly named the **John R. Craddock Award**. Every year since, IAACE has considered recognizing another educator who has exhibited the same kind of commitment and service to adult and continuing education. To date, there have been four additional John R. Craddock Award recipients: Dr. James McElhinney (2001), Ken Woodruff (2003), Ruth Huffman-Hine, Ph.D. (2004), and Dr. George Wood (2005). They are pictured on chapter covers 2, 4, 6, and 8 respectively.

Additionally in 1999, the Indiana Association of Adult and Continuing Education (IAACE) established another award of distinction. This award was to honor **Outstanding Adult Education Administrators**. The first recipient of this award was JoAnn Vorst (1999) and the award has continued since it was introduced. Nominations are received from the membership and the awards are granted based on a highly regarded set of guidelines. The nominations are reviewed by the current year awards committee and granted at the annual IAACE conference. Six additional adult education administrators have received this prestigious award. They are Ed Cole (2000), Steve Schenkel (2002), Greg Long (2003), Sherry Dick (2004), Kim Powers (2005), and Tim Holcomb (2006). Many of them are also pictured on chapter covers; see Chapters 1, 3, 5, 7, 9, and 10 respectively.

Acknowledgements

A Special Thank You

to all who have:

contributed to the content and editing of this handbook,

developed forms, procedures, and policies,

and/or

sponsored/facilitated leadership training – past, present, and future.

_____

_____

Education can't make us all leaders…

But it can teach us which leader to follow.

14,000 Quips & Quotes for Writers & Speakers by E. C. McKenzie

Preface

This handbook for administrators has been produced to help adult education leaders acquire or refine their own understanding and approaches to program management and organization. Its target audience is directors, coordinators, and others in leadership positions. The goal during design and development was to create a valuable tool for fostering professional effectiveness. It is a reliable guide for identifying Indiana's standards, determining program needs, coordinating facilities, preparing budgets, analyzing program data, and providing quality instructional courses for Indiana's adults. A wealth of topics is explored and resources are presented. This book reflects the policies of the United States Department of Education (USDOE) and Indiana Department of Education (IDOE), Division of Adult Education. Additionally, input from the field adds to its practicality, usability, and applicability.

This practical resource is dedicated to promoting the professional growth and development of adult education leaders; establishing benchmarks that allow for success in reaching goals and objectives; empowering administrators to build on their unique strengths while becoming proficient in other areas; and guiding multiple perspectives into consistent quality, practice, and service. Its purpose is to provide techniques, strategies, and guidelines in a clear, concise format that allows for the adaptation of personal style while building an inclusive service delivery system for meeting the needs of a diverse student population, ever-changing staff, and community of stakeholders.

This handbook is not designed to be comprehensive – rather, it is designed to be an overview of federal and state expectations that allow for local application and flexibility. It should be used in tandem with local policies and procedures. It is anticipated that local superintendents, the adult education state staff and professional development consultants, as well as colleagues, will provide the clarification, coaching, and collaboration needed to put the concepts outlined into viable practice.

The reader's success will be in direct proportion to the reader's commitment. It is suggested that this handbook be read actively and that the concepts and ideas be practiced as they are introduced. Challenges and questions can be discussed with a colleague. Dialogue will facilitate knowledge acquisition and application.

Leadership and Learning…

Are indispensable to each other.

-- *John Fitzgerald Kennedy*

Indiana Handbook
for
Administrators of Adult Education

Table of Contents

For ease of navigation, this handbook has a layered table of contents. The table of contents listed above contains only chapter titles. The number in parenthesis to the left refers to the index tab number for each chapter. The number to the right refers to the page number for the chapter level table of contents.
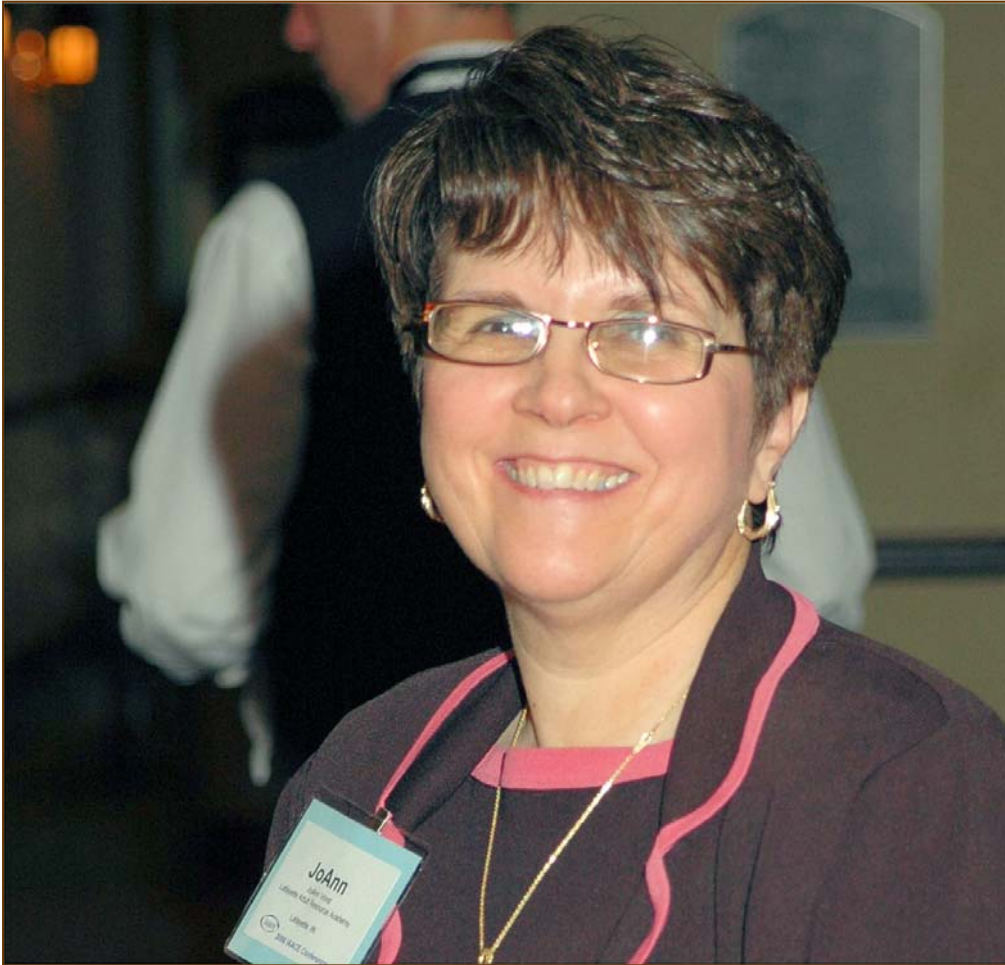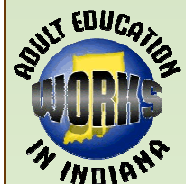
JoAnn Vorst, Lafayette Adult Resource Academy
Outstanding Adult Education Administrator 1999

A leader takes people where they want to go.

A great leader takes people where they don't necessarily want to go but ought to be.

-- Rosalynn Carter

Locating…Adult Education Resources

State/Regional Adult Education Contact Information

Linda Warner
Director
(317) 232-0521
lwarner@doe.state.in.us

Jerry Haffner
Assistant Director
(317) 232-0525
jhaffner@doe.state.in.us

Ann Kizer
Program Consultant (Outreach EL-Civics)
(317) 232-0526
akizer@doe.state.in.us

Nancy Waite
State GED Administrator
(317) 232-0523
nwaite@doe.state.in.us

Berneta Sherck
Family Literacy Specialist
(317) 232-0524
besherck@doe.state.in.us

Regional Information

North	Central	South
Program Consultants		
Cindy Sibert (317) 234-1365 csibert@doe.state.in.us	Jessica Mayfield (317) 232-0543 jhylton@doe.state.in.us	Jerry Haffner (317) 232-0525 jhaffner@doe.state.in.us
Professional Development Consultant *Professional Development Facilitator Project*		
Denise Cox	(800) 532-8339	dcox@ciesc.k12.in.us
Workforce Adult Education Specialists		
Jon Trippeer (800) 875-4557 jtrippeer@mail.continental-design.com		Kristin Harris-Deckard (800) 532-8339 kharris@ciesc.k12.in.us

Other Resources:

Lynne Ames
Professional Development Consultant
(888) 267-0119
lynne@niesc.k12.in.us

Barbara Hofmeyer
Coaching Consultant
(260) 927-8720
bhofmeyer@ niesc.k12.in.us

Dan Wann
Two Leaves Consulting
(317) 845-9739
dlwann@comcast.net

Timmie Westfall
Workforce Education Project Coordinator
(888) 481-9990
adulted@psci.net

Indiana Department of Education
Division of Adult Education
Web Site

The Indiana Department of Education, Division of Adult Education maintains a Web site as a resource to adult education administrators, instructors, learners, employers, and community partners. The Web address is:

<p align="center">www.doe.state.in.us/adulted/welcome.html</p>

The Web site contains a wealth of information for administrators. It should be referenced frequently for updates on a variety of topics, including:

- Budget and Funding Information
- National Reporting System (NRS) Standards and Definitions
- State Policies
- Professional Development Resources
- Program Development and Marketing Resources
- Reporting Schedules
- Report Forms
- State Performance Measures
- State and Local Program Performance Data

In addition, the Web site provides a vehicle for administrators to access contact information for Division of Adult Education staff as well as identify adult education programs and GED testing sites throughout Indiana.

The Handbook for Teachers of Adult Education is published on the Web site for further information regarding adult education in Indiana. Administrators will also find valuable links to related resources.

Adult learners, adult education instructors, and Indiana employers may also access information on the Web site regarding programs, services, and resources available to them through the Division of Adult Education and the local program in their community.

Adult education program administrators will regularly want to access this valuable resource.

Indiana Adult Education
Administrator's Listserv

inaded@ciesc.k12.in.us

The listserv is a forum designed for adult education administrators to share information, exchange ideas, and discuss issues. The purpose of this listserv is to increase communication between adult education administrators. This is an opportunity to check out ideas and activities other programs are using. You may want to see if others are experiencing the same concerns or problems you are having or you may want to look for some problem-solving inspiration. This is the place to share best practices or what works in your program. Don't forget to share pictures too! Proudly share successes, activities, and projects that have worked. In addition, the Division of Adult Education will share notification of meetings, events, news, and updates, as they happen, on this listserv.

To send an email message to the Indiana Adult Education (INADED) Administrator's listserv:

- In the "To:" box of your e-mail message, type
  inaded@ciesc.k12.in.us.
- Simply post your message in the body.
- Select "Send".
- Your message will be sent to all adult education administrators across the state in Indiana.

To reply to received messages posted on INADED, follow these steps:

- In the "To:" box of your e-mail message, type
  inaded@ciesc.k12.in.us.
- Post your reply in the body.
- Select "Send".

Special Notes

- Persons posting messages to the listserv are solely responsible for the content of their messages.
- The user agrees not to distribute any content through the listserv that is abusive, libelous, copyrighted, defamatory, obscene, pornographic or otherwise in violation of any law.
- The user agrees not to use the listserv for commercial purposes, i.e., solicitations or the like.

To be removed from the listserv:

Contact your Indiana Department of Education, Division of Adult Education Consultant.

Indiana Lincs
Web Site

Indiana LINCS (**L**iteracy **I**nformation a**N**d **C**ommunication **S**ystem) is a member of Midwest LINCS, funded in part through grant support from the National Institute for Literacy. Midwest LINCS is one of five regional technology hubs that strive to connect all literacy resources within the nation to practitioners and students who can use them.

The Adult Education Professional Development Project manages Indiana LINCS. The contact person for this Web site is Denise Cox, dcox@ciesc.k12.in.us. The Web address is:

<div align="center">

www.inlincs.org

</div>

Indiana LINCS Offers:

- Partners who contribute to and support adult education and literacy programs.

    Indiana Department of Education, Division of Adult Education administers the following programs: Adult Basic Education (ABE), Adult Secondary Credit (ASC), Even Start Family Literacy Program, General Educational Development (GED) Testing, and the Professional Development Project.

    Indiana Adult Education Professional Development Project is dedicated to improving teaching and learning in adult education through the development, facilitation, and delivery of high-quality professional development initiatives.

    Adult Education Works in Indiana – Workforce Education Project is a workforce education project of the Indiana Department of Education's adult education system that links basic skills instruction to workforce demands. Indiana adult education programs offer on-site, customized workforce basic skills consultation, assessment, and instruction to Hoosier businesses.

    Indiana Adult Literary Coalition was created to address the problem of Hoosier adults who can't read well enough to function in our society. The Coalition encourages cooperative involvement of the concerned state agencies that serve as ex-officio members of the Coalition.

- Online professional development content aimed at improving teaching and learning in adult education. New Adult Educator, Learning Disabilities, and GED are featured interactive topics.

- Current information and resources through the Events Calendar, Link Library, and Wander Indiana.

- Direct connections to all National LINCS resources on current funding opportunities, national adult education and literacy events, media, and research publications and policy briefs.

Indiana Adult Education
Professional Development Project
Web Site

The Indiana Adult Education Professional Development Project is dedicated to improving teaching and learning in adult education through the development, facilitation, and delivery of high-quality professional development initiatives. It maintains a Web site as a resource to adult educators. The Web address is:

<p align="center">www.ciesc.k12.in.us/AdultEd/default.asp</p>

It is the gateway to professional development for adult educators. Featured topics include:

- New Teacher Training System.
- Learning Disabilities.
- GED 2002.
- English as a Second Language (ESL).
- Wander, IN – A Directory of Comprehensive Programs for Adult Educators.
- Link Library – A List of Adult Education Resources.
- Contact Us – A Direct Link for Communication.
- Calendar of Events.

Since 1992, the Professional Development Project has been the access point for conferences, institutes, in-services, study groups, action research, and mentoring bringing together program directors, teachers, and volunteers to better serve adult students in all settings.

Yearly, over 1200 Indiana adult educators select from and participate in a wide array of professional learning opportunities. Some examples of initiatives offered are listed below.

- Professional Development Facilitators in each comprehensive program support and assist local staff training.

- Sponsored workshops for CASAS Implementation, New Adult Educators, Administrators, and Workforce Education are offered.

- A Winter Institute provides intensive training in priority areas such as ESL, Young Adult Learners, Subject Content, GED Preparation, and Special Needs.

Adult educators use this Web site for support, training, and communication. They are encouraged to take an active role in their professional learning. Let us know how we can help you and your program personnel meet the challenges as they continue to be lifelong learners.

Indiana Adult Education
Coaching Initiative

The Indiana Department of Education, Division of Adult Education provides professional development for adult education administrators through a system of support services designed to inform and prepare them to serve their learners and communities effectively.

Recognizing that many new adult education administrators are initially unfamiliar with the needs of adult learners and requirements of the state and federal adult education systems, information is presented through a variety of venues. The state staff provides two New/Nearly New Administrator Workshops each year. The Coaching Consultant provides on-site introductions to state resources, funding, reporting, policy, and the use of report information for program improvement. An experienced adult education administrator is made available as a mentor to model the practical application of state and federal requirements and local community collaborations. The contact person for this project is:

<div align="center">

Barbara Hofmeyer
bhofmeyer@niesc.k12.in.us

</div>

Additionally, all adult education administrators have access to the following resources:

- State Program Consultant to assist with budget, reporting, and performance issues and to provide guidance regarding state policy

- Coaching Consultant to offer support with program specific issues, including local performance and program improvement

- Workplace Education Specialist to assist with the development of workplace basic skills programs in the local community

- Professional Development Consultant to guide local professional development initiatives and budgets

- ESL Consultant to assist with ESL services implementation, assessment, and instructional strategies

- GED Administrator to provide guidance and standards for local GED testing

- Statewide Annual Leadership Conference to provide information regarding state and national trends in adult learning research, funding, and performance.

- Web-based information connecting the local administrator with funding, reporting, policy, and marketing information

- Print materials such as the *Handbook for Administrators of Adult Education Programs*

Indiana Adult Education
Professional Development Facilitator Initiative
(PDF Initiative)

The Professional Development Facilitator (PDF) Initiative responds to the needs of adult educators and demands of the adult education system. It is a program-based professional development approach with regional oversight. Professional Development Facilitators in each comprehensive program support and assist local staff training. The PDF's write professional development plans for their respective programs that feature multiple delivery options and a full menu of professional development opportunities. The plans are based on local needs, regional requests, and state priorities. The contact person for this project is:

Denise Cox
dcox@ciesc.k12.in.us

The Professional Development Facilitator (PDF) initiative is hallmarked by flexibility, diversity, challenges, and successes. PDF's reassess their respective programs' professional development needs each year. They consider the feedback from the current year's events, their certified and non-certified staff, students, volunteers, and community members. Using the resulting information, the intent of the federal Workforce Investment Act of 1998, program statistics and dynamics, and state goals and objectives, comprehensive programs develop and submit plans.

Program plans are practitioner-centered and focus on many of the components listed below:

- Technological knowledge and comfort with applying that knowledge to instructional and administrative functions

- Self-directed and collegial professional development activities

- New skills and knowledge integrated into learning environments to enhance the quality of instruction

- Instructors employing a combination of individual, group, and team learning in places where not previously tried

Indiana Adult Education
New Teacher Training System
(NTTS)

The Adult Education New Teacher Training System (NTTS) is a comprehensive professional development experience preparing new adult educators for success using a blended learning approach of computer-based training, print materials, one-to-one partnerships, and facilitated workshops plus on-demand and just-in-time training opportunities. The contact person for this project is:

Lynne Ames
lynne@niesc.k12.in.us

Components of the NTTS, designed to inform, prepare, and support new adult educators, are:

- Teacher is hired at local program level.

- Program director registers the new teacher on a secure page of Indiana LINCS.

- Teacher receives a Welcome to Adult Education packet to include the *Handbook for Teachers of Adult Education.*

- Teacher receives on-demand training through the Indiana LINCS Online Pre-Service.

- Teacher is paired with a mentor through the Mentor Project or receives informal training at the local level.

- Teacher attends an ABE, ESL, or Workplace New Teacher Workshop.

- Teacher receives assessment training.

- Teacher receives additional support through the New Teacher Forum.

More information is available regarding this dynamic process on the Indiana LINCS Web site under the Indiana Adult Education Professional Development Project. The Web address is:

<div align="center">

www.inlincs.org

</div>

You may also contact any of the Adult Education state staff or professional development consultants.

Indiana Adult Education
The ESL Watercooler
Web Site

The ESL Watercooler is an interactive, dynamic, virtual community for those interested in teaching and learning English as a Second Language, especially for adult English language learners. The Web address for "Meeting at the ESL Watercooler" is:

<p align="center">www.inlincs.org/esl</p>

The ESL Watercooler is the place for all things ESL in Indiana. When you visit the Watercooler, you can:

- Connect with other adult ESL professionals and receive updates and news.

- Access Hot Links resources annotated on a variety of topics.

- Move from research to practice on the Discussion Boards.

- Participate in the online Book Club Book Chat.

- Visit the New to ESL Forum to give and receive advice on teaching challenges and successes.

- Explore a guide to Crossroads Café created by an Indiana EL Civics teacher.

Adult Education Works in Indiana
Workforce Education Project
Web Site

"Adult basic education is a tool for economic development in this state for the 21st Century."

Tom Utter, Director
Lincolnland Economic Development Corporation

As Indiana companies make great technological leaps forward, there is great concern that many in our Hoosier workforce are not prepared to meet the challenge of the global digital economy. Competitive companies know that a well-trained, educated workforce is vital to success in the marketplace.

The Workforce Education Project creates a coordinated workforce basic skills system that is worker-centered, customized, and provided onsite at the workplace. This project helps low-level employees maintain their job or improve their performance and assists employers in hiring and retaining workers with adequate basic skills for work. The Web address is:

www.adultedworks.org

All IDOE federally funded adult education programs in Indiana must develop, sustain, and institutionalize workforce education driven by employer needs and economic development. This project has assisted many companies in Indiana to successfully improve basic skills and adapt to the changes brought about by the information age.

Three regional workforce education specialists are available to assist you in the implementation of our nationally recognized workforce model

Dr. James McElhinney, Retired, Ball State University
John R. Craddock Award Recipient 2001

Leaders establish the vision for the future and set the strategy for getting there.

--John P. Kotter

Guiding…Principles and Standards

Adult Education Rules
511 IAC 11

Rule 1 – General Principles

511 IAC 11-1-1 – Organization of program; admission of students; scheduling and location of classes

Section 1   (a) An adult education program should be organized to meet the needs and circumstances of adult students and should be responsive to adult needs, interests, and responsibilities.

(b) An adult education program should establish priorities for admission of students based on community needs and available resources.

(c) Class schedules should be organized to meet the educational, vocational, and social needs of adult students.

(d) Classes should be offered at locations that are accessible to adult students, minimizing conflicts with work schedules and family responsibilities.

Rule 2 – Definitions

511 IAC 11-2-1 – Definitions

Section 1   The definitions in this rule apply throughout this article.

511 IAC 11-2-2 – "Adult Basic Education (ABE) program" defined

Section 2   "Adult Basic Education (ABE) program" means instruction in basic academic and other subjects which are necessary for an adult to achieve up to an eighth grade level of skill or knowledge, to become proficient in the English language, to function in today's society, and/or continue through the secondary level of instruction.

511 IAC 11-2-3 – "Adult Secondary Credit (ASC) program" defined

Section 3   "Adult Secondary Credit (ASC) program" means instruction offering high school credit leading toward a high school diploma.

Adult Education Rules
511 IAC 11 *(continued)*

511 IAC 11-2-4 – "Eligible adult" defined

Section 4   (a) "Eligible adult" means an Indiana resident who
(1) has officially withdrawn from a K-12 program and does not have a high school diploma; or
(2) is a high school graduate and has been determined to need basic skill development in English language arts or mathematics at or below the high school level.
(b) In making a determination of eligibility, the adult education program must:
(1) Assess the basic skills of the person; or
(2) Accept the results of an assessment of basic skills by a referring college or university, postsecondary training institution, employment and training agency, department of public welfare, department of mental health, or employer.
(c) A school corporation may allow an individual who meets the following criteria to participate in an adult education program but may not count the student for reimbursement purposes:
(1) A student who is enrolled in a K-12 program and who is at least sixteen (16) years of age; and
(2) A student who is a high school graduate and does not qualify under the definition of eligible student.

511 IAC 11-2-5 – "High school equivalency (GED) program" defined

Section 5   "High school equivalency (GED) program" means instruction in skills necessary to successfully complete the Tests of General Educational Development as defined in 511 IAC 5-1-1.

511 IAC 11-2-6 – "Standard reimbursable unit of instruction" defined

Section 6   "Standard reimbursable unit of instruction" means the following:

(1) For an ABE or GED program, a block of time that includes the following:
(A) No less than forty (40) and no more than eighty (80) teacher hours.
(B) A student enrollment of no less than five (5) eligible adults who each have a minimum of twelve (12) hours of attendance in the unit.
(2) For an ASC program, a block of time that includes the following:
(A) No less than sixty (60) and no more than seventy-five (75) teacher hours.
(B) A student enrollment of no less than five (5) eligible adults who each have a minimum of six (6) hours of attendance in the unit.

Adult Education Rules
511 IAC 11 *(continued)*

Rule 3 – Reimbursement

511 IAC 11-3-1 – Authorization of programs

Section1   A school corporation may apply for authorization for reimbursement of its ABE, GED, and/or ASC program by submitting notification of its intent to the Department on or before the Department's announced deadline.

511 IAC 11-3-2 – Authorization of courses

Section 2   Courses authorized for reimbursement are those courses specified in 511 IAC 11-4-1 and 511 IAC 11-4-2.

511 IAC 11-3-3 – Costs authorized to be reimbursed

Section 3   The State Board of Education shall reimburse local school corporations for instructor, administrative, and support costs of authorized adult education programs.

511 IAC 11-3-4 – Eligible costs

Section 4   (a) Costs eligible for reimbursement are as follows:
   (1) Instructor salaries and fringe benefit costs paid by the school corporation for the following:
      (A) The teaching of standard reimbursable units of instruction with an overall program average of ten (10) eligible adults per unit. The reimbursement for instructor salaries and fringe benefits will be reduced proportionately if the average program enrollment of eligible adults is less than ten (10).
      (B) The teaching of an otherwise standard reimbursable unit of instruction that is canceled before the end of the term due to an insufficient enrollment of eligible adults.
      (C) Participation in staff in-service. A school corporation may receive reimbursement for a maximum of three (3) hours of staff in-service per teacher per term.
   (2) Administrative and support costs limited to the following:
      (A) Salary and fringe benefits
      (B) Materials and supplies
      (C) Printing and postage
      (D) Local travel
      (E) Equipment

Adult Education Rules
511 IAC 11 *(continued)*

511 IAC 11-3-4 – Eligible costs *(continued)*

    (b) Administrative and support costs must relate to the performance of the following functions:
- (1) Program supervision
- (2) Clerical support
- (3) Guidance services
- (4) Classroom instructional support
- (5) Educational media and library services
- (6) Public information and student recruitment
- (7) Data collection, processing, and reporting
- (8) Staff Training

    (c) Costs eligible for reimbursement must meet the following additional criteria:
- (1) Goods and services must be provided for the direct support of an adult education program;
- (2) The cost of goods and services must represent an actual expenditure made on or before the deadline for submitting a claim for reimbursement.

511 IAC 11-3-5 – Exceptions to reimbursable costs

Section 5   (a) Except as allowed under subsection (b), reimbursable administrative and support costs shall be those not supported by the local school corporation in the previous funding period.

    (b) The State Board of Education may waive the requirement of subsection (a) if the school corporation can show that:
- (1) There has been no intent by the local school corporation to lower the priority of the adult education program relative to other programs in the school corporation; and
- (2) The adult education program will not bear a disproportionate burden of necessary cost reduction within the school corporation relative to other programs.

    (c) All requests for a waiver under subsection (b) must be submitted on forms prepared by the Department and must be submitted at least sixty (60) days in advance of the deadline for submitting reimbursement claims.

    (d) In determining the amount of the school corporation's allocation that will be spent on administrative and support costs, the school corporation shall first meet the instructional needs of the program, based on the number of courses, classes, and hours of instruction previously provided by the adult education program.

Adult Education Rules
511 IAC 11 *(continued)*

511 IAC 11-3-6 – Estimate of eligible costs; allocation determination

Section 6   (a) Prior to each funding period, the State Board shall provide each school corporation that is implementing an adult education program with an estimate of the amount of the expenditures for which the school corporation will be eligible for reimbursement under 511 IAC 11-3.

(b) In determining the amount of the allocation for each school corporation, the State Board shall consider the following:

(1) The amount of the current appropriation made by the General Assembly for the adult education program. The total amount of the appropriation distributed for administrative and support costs shall not exceed fifteen percent (15%) of the total appropriation.

(2) The amount needed to implement new programs throughout the state.

(3) The amount that school corporations with continuing programs received for reimbursement in the previous year.

(4) Any other criterion deemed to be necessary by the State Board of Education for a fair and equitable distribution of the adult education appropriation.

511 IAC 11-3-7 – Submission of claim; amount of reimbursement

Section 7   (a) On July 1 and February 1, a school corporation shall submit its claim for reimbursement to the Department of Education. A claim submitted after the deadline may result in a denial of the claim unless an extension of the deadline is requested in writing and approved by the Department.

(b) Except as permitted under subsection (c), the amount of the reimbursement may not exceed the amount the school corporation was allocated under 511 IAC 11-3-6.

(c) If the amount available for distribution in the funding period exceeds the amount for which school corporations qualify under subsection (b), the Department shall distribute the excess amount on a pro rata basis in the following rank order of priority:

(1) Reimbursement for the cost of instructor salaries and fringe benefits, and

(2) Reimbursement for administrative and support costs.

Adult Education Rules
511 IAC 11 *(continued)*

Rule 4 – Curriculum

511 IAC 11-4-1 – Authorized adult basic education courses

Section 1   Authorized ABE courses consist of the following titles:
  (1) Level I, phase I (Grade level 0-5.9)
  (2) Level I, phase II (Grade level 6-8.9)
  (3) Level II/GED (Grade level 9-12)
  (4) Mixed levels
  (5) English as a Second Language

511 IAC 11-4-2 – Authorized Adult Secondary Credit courses

Section 2   Authorized ASC courses consist of all course titles listed under 511 IAC6-2-5 (d) except Driver Education and Motorcycle Safety Education.

511 IAC 11-4-3 – Adult secondary credit program; evaluation and follow-up

Section 3   (a) Each ASC program shall implement an educational improvement program of evaluation and follow-up in the subject areas of reading, composition and spelling, mathematics, social studies, science, and computer literacy, in accordance with 511 IAC 6-2-1 (c)(6), exclusive of the testing requirement.
  (b) A school corporation may elect to include its ASC program in the school corporation's plan developed under 511 IAC 6-2-1(c)(6) or establish a separate review process under this rule.
  (c) A school corporation may implement a separate ASC educational improvement program under this rule by establishing a local evaluation committee for each subject area. The committee shall consist of members appointed by the local superintendent, and include, among others, an adult education administrator and a teacher certified in the subject area.
  (d) An educational improvement program established under this rule shall be developed on or before August 1 of each year and shall include the following:
    (1) A comparison of the adult education curriculum with the school corporation's regular secondary school curriculum
    (2) An assessment of the appropriateness of the curriculum for adult students
    (3) Program goals and objectives
    (4) Prescribed instructional procedures and strategies

Adult Education Rules
511 IAC 11 *(continued)*

511 IAC 11-4-3 – Adult secondary credit program; evaluation and follow-up *(continued)*

> (e) The plan shall be updated at least once every six (6) years according to the following initial schedule:
> > (1) Social studies in 1985
> > (2) Mathematics in 1986
> > (3) Science in 1987
> > (4) Computer literacy in 1988
> > (5) Reading in 1989
> > (6) Composition and spelling in 1990

Rule 5 – Awarding Credits

511 IAC 11-5-1 – Accredited high school course equivalency

Section 1　ASC credit shall be awarded for knowledge, skill, or competency equal to that required to earn credit in an equivalent course in an accredited high school.

511 IAC 11-5-2 – Calculation of credit; additional methods of obtaining credit

Section 2　(a) Except as specified in subsection (b), one (1) credit is at least sixty (60) hours and no more than seventy-five (75) hours of class time and a one half (1/2) credit course is at least thirty (30) hours and no more than thirty-eight (38) hours of class time.

(b) At least sixty (60) hours and no more than seventy-five (75) hours of class time are required to earn one-half (1/2) of a credit in physical education.

(c) In addition to the credit awarded for authorized ASC courses, credit may be awarded in any of the following ways:
> (1) Credit by examination. A program wishing to grant credit by examination must locally adopt written policies and procedures that provide for:
> > (A) The development of a test
> > (B) Approval of the test by a local evaluation committee appointed by the local superintendent and whose membership includes, among others, an adult education administrator and a teacher certified in the subject area of the test
> > (C) Test security measures
> > (D) Who may take the test
> > A copy of the examination shall be submitted to the Department of Education.

Adult Education Rules
511 IAC 11 *(continued)*

511 IAC 11-5-2 – Calculation of credit; additional methods of obtaining credit *(continued)*

(2) Credit for work experience. A program wishing to grant credit through work experience must locally adopt written policies and procedures that provide for evaluation of the work experience by a local evaluation committee appointed by the local superintendent and whose membership includes, among others, an adult education administrator and a teacher certified in the subject area in which credit is granted.

(3) Supervised, self-paced study. Credit shall be granted for supervised, self-paced study that meets the following criteria:

    (A) Satisfactory performance on a proficiency examination

    (B) Successful completion of curricular units, steps, or phases that have been established by the local school corporation as the equivalent of the amount of credit granted

(4) Correspondence courses. Credit may be granted for correspondence courses in accordance with the requirements specified in 511 IAC 6-7-7.

(5) Postsecondary credit. Credit may be granted for postsecondary courses in accordance with the requirements specified in 511 IAC 6-7-8.

(6) Military Experience. Credit may be granted for military experience in accordance with the requirements specified in 511 IAC 6-7-8.

Rule 6 – Adult Secondary Credit Graduation Requirements

511 IAC 11-6-1 – Applicability of rules

Section 1   Except as provided by section 2 through 3 of this rule, a student may graduate from high school by earning ASC credits if the student meets the requirements of 511 IAC 6-7 and 511 IAC 6-7-6.

511 IAC 11-6-2 – Physical education waiver

Section 2   A school corporation may waive physical education as a graduation requirement on an individual basis.

511 IAC 11-6-3 – Seven-semester requirement waiver

Section 3   A school corporation may waive the seven (7) semester requirement specified in 511 IAC 6-7-4, on an individual basis.

Adult Education Rules
511 IAC 11 *(continued)*

511 IAC 11-6-4 – Minimum number of credits

Section 4   A waiver granted under sections 2 or 3 of this rule does not change the minimum number of credits required for graduation under 511 IAC 6-7-6.

Rule 7 – Certification and Contract Requirements

511 IAC 11-7-1 – Teacher certification

Section 1   (a) An adult education teacher shall hold a valid Indiana teaching certificate.
(b) An ABE and GED teacher may hold a valid Indiana teaching certificate in any area listed under 511 IAC 10-1 that is related to the proficiencies being taught.
(c) Except as permitted under section 2 of this rule, an ASC teacher, including a vocational education teacher, shall hold a valid Indiana teaching certificate in the subject area being taught.

511 IAC 11-7-2 – Independent study; approval; credit

Section 2   An ASC teacher may teach and recommend credit for supervised, self-paced study in a subject area outside the area in which the teacher is licensed if the following conditions are met:
(1) A department chairman or curriculum specialist in the designated subject area approves the curriculum and establishes minimum competencies
(2) The Department of Education approves the plan of independent study
(3) No more than eight (8) credits are earned by a student under the conditions specified in this section

511 IAC 11-7-3 – Teacher's contract

Section 3   A school corporation shall employ an adult education teacher using the appropriate regular teacher's contract, temporary teacher's contract, or supplemental service contract in accordance with IC 20-6.1.4.

Adult Education Rules
511 IAC 11 *(continued)*

Rule 8 – Miscellaneous

511 IAC 11-8-1 – Attendance

Section 1   Every school corporation shall adopt a written policy on attendance for its ASC program.

511 IAC 11-8-2 – School day, school year, and semester; definition

Section 2   Every school corporation shall define the length of the "school day", "school year", and "semester" in accordance with the requirements of 511 IAC 11-2-5 and locally determined needs.

511 IAC 11-8-3 – Records maintained by school corporation

Section 3   (a) Every school corporation shall maintain records of ASC credits awarded in the same manner that the school corporation maintains records of credits awarded in its regular high school program.
            (b) All other records retained shall be maintained for no less than five (5) years.

511 IAC 11-8-4 – Tuition and fees

Section 4   (a) Requirements of the State Board of Accounts governing the assessment of tuition and fees to students apply to students enrolled in a state reimbursable adult education program.
            (b) A person who is eligible to be counted as enrolled for purposes of reimbursement in a state-approved adult education program shall not be charged tuition.

Effective: 03/01/94

Indiana Adult Education
Standards for Comprehensive Programs

The comprehensive program (a program receiving both state and federal funds) provider will:

- Based on local need, provide the following to eligible adults who are 16 years of age or older and officially withdrawn from a K-12 program:

  Adult education and literacy services, including workplace literacy services

  Family literacy services

  English literacy programs

  An adult holding a high school diploma or GED may be served if:

  He/she tests below 12.9 grade level in English/language arts or mathematics or

  Is referred from another agency verifying that he/she needs basic skills remediation

- Form an adult education regional coordinating council that is convened at least three times during a program year. The council must be involved in the planning of the application for federal funding. Representation on the council must include all agencies in the district that receive state and/or federal funding from the Division of Adult Education, other literacy providers, workforce investment partners, and community agencies that serve the target population.

- With the exception of the Indiana Department of Correction (IDOC), actively participate in the planning and provision of services in the workforce investment area(s) within the program district. A description of the services to be provided to the workforce investment area will be specified in the Adult Education Memorandum of Understanding (MOU) with the Workforce Investment Board (WIB).

- Employ professional adult educators. A teacher who holds a valid Indiana teacher's license and, preferably, has specific background or training in adult learning theory and practice must conduct adult education classroom instruction. In the case of volunteer literacy programs, the program or volunteer coordinator must hold a valid Indiana teacher's license.

- Acquire the capacity to use electronic technology to communicate with the Division of Adult Education and use instructional technology as a fundamental component of instruction.

Indiana Adult Education
Standards for Comprehensive Programs *(continued)*

The comprehensive program provider will: *(continued)*

- Complete all necessary forms that are part of the Individual Learner Record (ILR) and be able to computerize those records using the electronic record keeping system designated by the Division of Adult Education to report participant outcomes and to monitor program performance against the eligible agency performance measures.

- Provide an individualized, flexible program and curriculum designed to meet the needs of the adult learners and their various learning styles.

- Eliminate barriers to participation for teachers, students, and other program beneficiaries with special needs.

- Provide accurate and timely programmatic and fiscal reports and maintain related data for no less than three years.

- Appoint and support a staff member to serve as the Professional Development Facilitator (PDF) and support program staff attendance at training/professional development activities, as provided or required by the Division of Adult Education.

- Incorporate the following elements throughout the district program:

    Planned orientation for interested adults that includes formal and informal assessment and confidential assistance in completing necessary registration forms

    Entry assessment for placement purposes following the current *Standardized Testing Policy* for ABE/GED learners

    Diagnosis of specific academic and life skills needs

    Development of a written Adult Learning Plan (ALP), in cooperation with each student, based on personal interviews and formal/informal assessment tools

    Use of appropriate and varied instructional materials and techniques

    Integration of academic, workplace, and life skills instruction

    Periodic monitoring, recording, and reporting of student progress in which the student is actively involved

Indiana Adult Education
Standards for Comprehensive Programs *(continued)*

The comprehensive program provider will: *(continued)*

- Incorporate the following elements throughout the district program: *(continued)*

    Documentation of learning gains and providing students with such information

    Counseling with students in accessing other services and programs for better retention and transition of students

- Incorporate *Indicators of Program Quality* in the planning, implementation, and evaluation of services.

- Subcontract with other programs or explain how services, local match, and maintenance of local effort will continue in the district.

Effective 03/01/2001

Indiana Adult Education
Indicators of Program Quality

Introduction

To promote the quality of adult basic education programs in Indiana, the Indiana Department of Education, with the assistance of other stakeholders, developed *Adult Basic Education Indicators of Program Quality.* The indicators and measures of effectiveness delineate the outcomes and practices that will result in providing the best services for adults seeking to enhance their basic skills.

Adult education practitioners, other stakeholders, and university researchers comprised a committee appointed by the State Superintendent of Public Instruction, Dr. Suellen Reed, to guide the development of the indicators. This committee and the staff of the Division of Adult Education prepared a draft and held hearings across the state for further input. The indicators were presented to the Indiana State Board of Education, the Commission on Vocational and Technical Education, and the Human Resource Investment Council for comment in 1993. Additional indicators addressing program practices and processes were finalized in 1995.

The indictors are used as common standards to guide Indiana's network of state and federally funded adult education/literacy programs. The indicators can be adapted for use by adult secondary education programs and other providers to increase the basic educational level of Indiana adults.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Recruitment

Indicator: Program successfully recruits and registers members of those locally identified, priority target populations whose lack of academic/life skills impedes their ability to:

- Have a positive effect on the literacy and education of their children.

- Be employable.

- Live independently.

- Access further training, education, and community resources.

Measures: Program conducts a needs assessment that takes into account state and local demographics of the targeted populations, program resources, and other services and funding sources available to meet these needs.

Program negotiates with the Indiana Department of Education specific recruitment goals for local priority target populations identified as a result of the needs assessment.

Program provides evidence of recruitment activities geared toward the local priority target populations.

Program provides evidence of levels of service appropriate to local priority target populations.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Retention

Indicator:　Learners remain in the program long enough to meet, or make documentable progress toward, goals established through the development of an Adult Learning Plan (ALP).

Measures:　Program employs a variety of strategies that at least include:

- The development of an Adult Learning Plan (ALP) with long and short-term goals appropriate for the learner.

- A follow-up plan for absentees/drop-outs.

- A plan to coordinate with other agencies to provide needed support services.

Program provides documentation of the number of learner hours and gains achieved, as collected and aggregated by the state's Individual Learner Record (ILR) system.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Learning Gains

Indicator: Learners progress toward, and/or attain, academic/life skill goals, which were established jointly by the learner and the adult education program staff.

Measures: Documentation of one or more of the following, as appropriate to the individual learner:

- Progress within/between levels

- Achievement of goals(s)

- Attainment of basic academic/life skills competencies

- Positive changes in behavior and practices, attitudes, and plans

- Improvement of standardized test scores

- Progress demonstrated on other instruments, as approved by the Indiana Department of Education

- The number and percentage of learners who achieve reportable gains, as documented through the Individual Learner Record (ILR)

- The number and percentage of learners who meet their established long-term goal prior to leaving

Indiana Adult Education
Indicators of Program Quality *(continued)*

Program Planning

Indicator: Provider has an ongoing and participatory planning process, which results in clear and measurable goals and objectives that are consistent with state priorities and guidelines.

Measures: Provider has a long-range plan for the delivery and support of adult education services, which is guided by a written mission statement and an assessment of community needs.

Provider submits accurate and timely program plans that incorporate input from learners, staff, the provider organization, and community partner agencies.

Progress is being made toward plan implementation and the achievement of the program goals and objectives.

Self-evaluation, including the analysis of program data, is conducted regularly and used to improve the program.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Leadership and Management System

Indicator: Provider demonstrates leadership and responsible management practices to accomplish program goals and objectives.

Measures: Provider's plan uses program, organizational, and community resources to accomplish goals and objectives and to support program operations.

Provider uses program data to communicate program information, to make decisions, and to submit accurate reports.

Provider's management practices include systematic methods for promoting communication among staff and providing for staff supervision and support.

Provider's staffing plan addresses the needs of the program, and all staff have the education, training, qualifications, and/or experience appropriate for assigned duties.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Instructional Content and Facilitation of Learning

Indicator: Program's instructional content and techniques are learner-centered within the context of addressing essential skills and societal demands and are consistent with program goals and objectives.

Measures: Program staff and learner develop and regularly review an adult learning plan focusing on assessment of the strengths, needs, and goals of the learner and on program and community priorities.

Program uses instructional content that emphasizes the integration, application, and transfer of basic, life, and employability skills.

Program uses age-appropriate materials, technology, and instructional approaches, which accommodate a variety of interests and goals, functioning levels, learning styles, cultures, and special learning needs.

Program has classroom management practices that consider the issues facing adults, encourage learner self-direction, and communicate expectations to the learners.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Professional Development

Indicator: Provider encourages on-going participatory professional development planning and activities that use the variety of opportunities and resources available and which support the accomplishment of program goals and objectives.

Measures: The professional development planning process considers individual and group needs and the variety of opportunities and resources available and reflects evidence of joint planning with other organizations, as appropriate.

Pre-service and in-service professional development topics are consistent with staff input, results of evaluation activities, Indiana's core curriculum for adult education, state priorities, and current research.

Professional development opportunities are communicated in a timely fashion, information learned is shared, and opportunities for practice are encouraged and are provided as resources permit.

The evaluation of professional development activities examines the immediate and long-term effects on meeting program goals and objectives.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Coordination Linkages

Indicator:　Provider uses a plan for establishing and maintaining coordination linkages that support the accomplishment of program goals and objectives.

Measures:　The coordination plan considers input from learners, staff, the provider organization, and community partners and reflects broad program support.

　　　　　　Linkage relationships enhance learner services and program resources, provide for learner support and transition services, including a process for cross-referral, and increase the visibility of adult education services in the community.

　　　　　　Provider resources dedicated to coordination and linkages are sufficient to achieve desired outcomes.

　　　　　　Regular evaluation of coordination efforts examines the immediate and long-term effects on meeting program goals and objectives.

Indiana Adult Education
Indicators of Program Quality *(continued)*

Facilities, Furnishings, and Equipment

Indicator: Provider plans for the use of facilities, furnishings, and equipment to support the accomplishment of program goals and objectives.

Measures: Facilities, furnishings, and equipment are safe and clean, adequate and appropriate for program functions, and conducive to learning.

Facilities are located in areas of need and/or are accessible by public transportation, when available.

Facilities, furnishings, and equipment within the overall program must be made accessible to learners with special needs.

Decisions regarding facilities, furnishings, and equipment consider broader uses of technology.

Adult Education Management Competencies
for the
Improvement of Adult Education Programs

Introduction

Quality management is necessary to ensure and sustain quality instruction. Among the challenges faced by leaders and managers in adult education are:

- Securing and allocating resources to address competing priorities.
- Developing and promoting the organization's mission, goals, and objectives.
- Making accessible increasingly complex technology.
- Meeting the needs of a diverse student population.
- Employing and supervising an ever-changing instructional staff.
- Initiating and advocating for changes that promote program improvement.
- Advocating for the field of adult education.
- Responding to the changing demands for program accountability.
- Encouraging problem solving and team building among staff.
- Collaborating with other agencies to provide comprehensive delivery of services.

Management Competencies and Sample Indicators for the Improvement of Adult Education Programs (a publication of Building Professional Development Partnerships for Adult Educators Project) identifies a set of recognized skills and knowledge areas possessed by effective program administrators. The purposes of the publication are to enable adult education administrators to:

- Think reflectively about their programs.
- Identify areas of strengths and areas for improvement for themselves and for their programs.
- Plan and implement strategies that enhance the overall quality of their program.

Professional development is included among those strategies.

The competencies are divided into the following seven (7) general categories:

Adult Education Management Competencies
for the
Improvement of Adult Education Programs *(continued)*

Leadership Skills

- Models appropriate professional behavior and encourages other staff members to act in a professional manner.

- Demonstrates effective interpersonal and communication skills.

- Encourages active involvement of all staff and stakeholders in decision-making processes.

- Establishes and promotes the philosophy, goals, and objectives of adult education.

- Promotes an environment in which linguistic and cultural differences are valued and appreciated.

- Initiates and facilitates change process.

- Advocates for the development of the field of adult education at national, state, and local levels.

Instructional Leadership

- Initiates and monitors the process of curriculum design and development and supports instructional processes and strategies based on research in adult learning and development.

- Compiles and/or uses various needs assessments to determine staff, learner, and community needs.

Resource Management and Allocation

- Identifies, and applies for, additional funding independently or collaborates with other programs and partners.

- Effectively manages and allocates the budget.

- Uses financial resources to support the program's mission and goals and to foster continuous program improvement and accountability.

- Identifies and utilizes resources to enhance the instructional process.

Adult Education Management Competencies
for the
Improvement of Adult Education Programs *(continued)*

Human Resource Management

- Recruits, hires, evaluates, and terminates staff based on established criteria.

Program Monitoring and Reporting

- Promotes clear procedures for collecting, documenting, and reporting data.

- Monitors and evaluates the program and uses the data for program improvement and accountability.

Professional Development Practices

- Plans, promotes, and models life-long learning practices.

- Promotes continuous professional development for staff.

- Encourages and promotes professional development activities related to technology.

Community Collaboration

- Builds relationships with various agencies and institutions to enhance the delivery of services.

- Accesses and makes available information to clients about community resources and issues and relevant laws and regulations.

The complete publication can be downloaded at:

http://www.calpro-online.org/pubs.asp

Indiana's Comprehensive Action Plan (i-CAP)
for Adult Education Programs

Purpose

Indiana's Comprehensive Action Plan (i-CAP) provides a framework for program excellence, accountability, and continuous improvement in adult education. The Indiana Department of Education, Division of Adult Education, measures progress through federal and state indicators of program quality by reports and self-assessments, in addition to on-site reviews conducted with local programs.

The action plan includes Guiding Principles and Benchmarks for Quality Programs. It also provides a mechanism for evaluating programs based on federal law, state statute, and rule.

Programs failing to meet the established benchmarks will be required to submit local improvement plans that address the areas of deficiency. The head of the agency or superintendent will be informed. Regional consultants from the Division of Adult Education will work with programs to address the deficiencies.

If measurable improvement is not shown within six months, the director of adult education will assign a State Technical Assistance Team of individuals with expertise in the areas of need. The team will provide additional assistance, monitor progress, and recommend whether funding should continue. A provider may appeal the decision in writing to the state director of adult education within 30 days if funding is discontinued.

Guiding Principles for Quality Programs

Adult education programs are evaluated annually based on established principles of program quality. (Benchmarks for Quality Programs are contained in Attachment A.)

1. Educational Gains – Learners demonstrate progress toward attainment of basic skills and competencies that support their educational needs.

2. Educational Outcomes – Learners advance in the instructional program by setting and meeting core performance measures.

3. Retention – Learners remain in the program long enough to achieve educational goals.

4. Recruitment – Programs successfully recruit the populations in the community as identified by needs assessments or demographic data.

5. Program Orientation – Services, procedures, and policies reflect a commitment to developing basic and functional literacy skills required for adults to enhance their lives.

Indiana's Comprehensive Action Plan (i-CAP)
for Adult Education Programs *(continued)*

Guiding Principles for Quality Programs *(continued)*

6. Program Planning, Administration, and Evaluation – Programs have a planning process that is ongoing and participatory; guided by evaluation; and based on a written plan that considers community demographics, needs, resources, economic trends, and local conditions. Programs promote evaluation and continuous improvement.

7. Curriculum and Instruction – Programs have curricula and instruction geared to individual needs and learning styles based on current research and practice.

8. Support Services – Programs identify learners' needs for support services to assist in determining how these options can be offered directly or through referral to other agencies.

9. Professional Development – Programs have a plan for an ongoing professional development process that addresses specific staff needs, considers training in the areas necessary to provide quality instruction, and includes opportunities for practice and follow-up.

10. Technology – Programs successfully integrate technology as demonstrated by classroom experiences, professional development opportunities, and enhanced administrative functions.

Evaluations and Local Self-Assessments

The evaluation process is designed to measure and monitor the ability of local adult education programs to achieve high standards and implement continuous improvement at all levels. While the goal is to increase basic skills, programs must also meet established performance levels with regard to high school completion, further education and training, and employment.

Furthermore, several state requirements, including recruitment and retention, program orientation and planning, instruction, support services, professional development, and technology requirements must be satisfied.

In this manner, administrators can promote continuous improvement by determining whether (1) they are serving a sufficient number of adult learners, (2) learners are attending classes on a regular basis to meet their goals, (3) learners are achieving substantial gains and outcomes, and (4) administrative and instructional staffs are committed to professional development opportunities that ensure their effectiveness.

Indiana's Comprehensive Action Plan (i-CAP)
for Adult Education Programs *(continued)*

Evaluations and Local Self-Assessments *(continued)*

Federal guidelines emphasize learner follow-up as a means to report outcomes. At a minimum, programs are expected to conduct follow-up through written or telephone communication on at least 50 percent of the learners who indicate high school completion, further education and training, and employment as goals.

The annual evaluation for selected providers includes a self-assessment and on-site review. The self-assessment focuses, in part, on the analysis of federal and state reports, including the annual performance report. The purpose of the self-assessment is to serve as a tool for promoting continuous improvement by enabling providers to determine strengths and weaknesses and to assist the Division of Adult Education in determining technical assistance needs of local programs.

Failing to Meet the Benchmarks for Quality Programs

A program not meeting at least 60 percent of the Benchmarks for Quality Programs contained in Attachment A will be required to submit an improvement plan to the Division of Adult Education within 30 days of notification of an unsatisfactory review. The head of the agency or superintendent will be notified.

The improvement plan will include measurable objectives for addressing the areas of deficiency. A regional consultant will provide technical assistance to programs in need of improvement and monitor the progress toward correcting the deficiencies during the next six months.

If the regional consultant determines that little or no improvement has been made, a State Technical Assistance Team will be assigned by the state director of adult education to assist the program in addressing the deficiencies. The team will be comprised of individuals with expertise in the areas of need. This may include, but not be limited to, state staff, regional professional development team members, teachers, and local administrators.

The State Technical Assistance Team will recommend to the state director of adult education, no later than six months after its appointment, whether additional action is necessary and whether the program should receive continued funding. The team may choose to suggest other programs that could offer services in the area if funding to the current provider is suspended. The provider may appeal the decision in writing within 30 days of notification. Programs may also reapply during subsequent funding periods.

Attachment A

Benchmarks for Quality Programs

Adult education programs should meet or exceed state benchmarks to ensure program quality.

☐ 1. Educational Gains – Forty-seven percent of enrollees completed one or more educational levels in 2004-2005. Comprehensive program providers should meet or exceed its negotiated levels. Programs that receive only state funding should meet or exceed the state benchmark.

☐ 2. Educational Outcomes –Seventy-four percent of learners who had further education as a goal enrolled in postsecondary education or training in 2004-2005. Sixty-one percent with an employment goal obtained unsubsidized employment. Seventy-five percent with improved employment as a goal retained unsubsidized employment. Sixty-three percent with high school completion as a goal earned a GED or diploma. Comprehensive providers should meet or exceed its negotiated levels. Programs that receive only state funding should meet or exceed the state benchmark.

☐ 3. Retention - The average number of contact hours per learner is 73 (based on the years 2004-2005). All programs should meet or exceed the state benchmark.

☐ 4. Recruitment - All levels of adults from beginning literacy through high adult secondary education are served. State funded programs must have a program average of 10 learners per unit of instruction to qualify for full state reimbursement. All programs should meet or exceed the state benchmark.

☐ 5. Program Orientation – Pretests using state-approved instruments are administered during specified times. Adult Learning Plans (ALPs) are initially written with learners actively involved in the process. Policies and procedures reflect current research and practice in adult learning. All programs should meet or exceed the state benchmark.

☐ 6. Program Planning, Administration, and Evaluation – Services are coordinated in all program areas. Participation on an active coordinating council is evident by attendance at three meetings during the program year. Programs demonstrate diverse demographics, needs, resources, and local conditions in applications for funding. All programmatic and fiscal reports are submitted on time. Resources are expended to benefit learners. All programs should meet or exceed the state benchmark.

Attachment A *(continued)*

Benchmarks for Quality Programs *(continued)*

❒   7. Curriculum and Instruction – Programs use curricula and instruction geared to individual needs and learning styles based on current research and practice. Adult Learning Plans (ALPs) are reviewed and updated. Learners continue to be actively involved in the process. Posttests using state-approved instruments are administered during specified times. Teachers participate in professional development opportunities. All programs should meet or exceed the state benchmark.

❒   8. Support Services – Programs have identified learners' needs for support and have made services available to adults directly or through referrals to other agencies. Learners are satisfied with these services and use them on a regular basis. All programs should meet or exceed the state benchmark.

❒   9. Professional Development – Programs provide an ongoing professional development process for all staff that considers individual needs, offers training in the skills necessary to provide quality instruction, and incorporates training in actual practice and follow-up. Professional development facilitators (PDFs) provide an active role in the training process where applicable. Additionally, program administrators participate in the i-LEAD model (Indiana Leadership Initiative for Adult Education – competencies for program management) by identifying areas of strength and areas for improvement for themselves and their programs. If requested, administrators will participate in the coaching project. All programs should meet or exceed the state benchmark.

❒   10. Technology – Programs have successfully integrated technology into the learning experience through distance education, computers, and other electronic communication. Teachers have been provided professional development on integrating technology into the classroom. Administrators and their programs will use technology effectively to enhance administrative functions. All programs should meet or exceed the state benchmark.

Effective: 05/01/05
Updated Statistics: 07/01/06

Steve Schenkel, Huntington Adult Education
Outstanding Adult Education Administrator 2002

Nothing of importance was ever done without a plan.

--from Frank Baer, anonymous one-liners

Framing…Adult Education Policy

Policy

Participant Eligibility
For English as a Second Language Services
In Federally Funded Adult Basic Education Programs

PURPOSE

To clarify concerns regarding which adults with limited English proficiency are eligible to be served in English as a Second Language programs funded by the Division of Adult Education with federal Adult Education and Family Literacy Act dollars.

ELIGIBILITY

Adults with limited English proficiency are considered to be eligible to participate in English as a Second Language adult basic education program services regardless of length of stay in the United States, socio-economic class, and/or educational achievement or status within their native countries. This is, provided, that such adults are also 16 years of age or older, and that such adults are out of school.

TARGETING THE "MOST IN NEED"

In keeping with the thrust of the federal legislation, the "most-in-need" for ESL services should be the targeted group for federally funded local adult basic education programs--the immigrants, refugees, and native born persons with limited English proficiency who plan to stay in the United States and who lack basic literacy, life skills, and English language skills to live successfully in the United States. Therefore, recruitment and retention activities, class locations, instructional programming, etc., must be directed toward the "most-in-need."

Effective: April 1994

Policy

Maintaining Student Sign-In Sheets
For Accountability

PURPOSE

To reinforce the issue of the importance of maintaining student sign-in sheets to verify reports at the local level.

STUDENT RESPONSIBILITY

All adult education students, both ABE and ASC, must sign-in and sign-out each time of attendance, recording the actual clock hours of participation in each class or unit of instruction.

TEACHER RESPONSIBILITY

Each teacher is responsible for having timesheets available for the students. Timesheets should include spaces for date, time-in, time-out, and student signature. A separate sign-in sheet must be kept for each class or unit of instruction. Only student signatures are accepted by the Division. In rare cases, where a student cannot sign his or her name, please have the student mark the timesheet with an "X" in the signature space.

ADMINISTRATOR RESPONSIBILITY

Administrators must review this policy with each teacher and monitor to see that student sign-in sheets are being used accurately by each teacher. Each administrator or designated staff should collect student sign-in sheets from teachers.

Student sign-in sheets must then be sorted according to units of instruction by recording class number, DOE code, and class title at the top of the compiled unit sheets. How this collecting and sorting process is done is a local option.

Student sign-in sheets represent the only record of actual student contact hours for each class or unit. No hours may be entered manually, or on computer records, to report student contact hours unless there are sign-in sheets to support such hours.

Policy

Maintaining Student Sign-In Sheets
For Accountability
(continued)

ADMINISTRATOR RESPONSIBILITY *(continued)*

Student sign-in sheets, as with all records to support local reports, must be maintained by the local program for five (5) years prior to the current program year. The administrator is responsible for maintaining the sign-in sheets at a central location.

DIVISION RESPONSIBILITY

Division consultants will be responsible for periodic monitoring of attendance records to assure the fiscal and programmatic accurateness of reports from the local programs. This may be done as an on-site visit, or these records may be requested by phone or in writing by DOE staff from the local program.

PENALTY FOR FAILURE TO KEEP ACCURATE RECORDS

In cases where student sign-in sheets do not support the local report of student contact hours and/or enrollments, funding may be denied for the unit or program in question.

Effective: May 2, 1994

Policy

Budget Modifications
For Federal Grants

Programs receiving federal funds through the Division of Adult Education in the form of a grant must officially request budget modifications when making transfers that decrease any one line item by more than 10% OR increase any one line item by more than 10%. This request is required each time such transfers impact a line item by the 10% guideline.

When requesting a budget modification, send a memo outlining the transfers requested and the reasons(s) for each line item change. Do not forward a corrected line item budget. The Division will develop this new budget based upon requested changes.

Final budget modifications within any program year must be received by the Division no later than April 15 of that program year. Administrators should consider this deadline fixed and plan accordingly.

Effective: June 1, 1994

Policy

Requirements for Classes/Programs
Where Multi-Funding Sources
Are Used to Support Adult Education

Whenever state or federal adult education dollars, administered through the Division of Adult Education, are used in part, or solely, to support a class/program, all policies, procedures, and reporting requirements related to that funding source apply.

If Division dollars are not directly used to support a class/program (e.g., a class supported by business, but administered by the ABE program), the program may elect to report such enrollments to the Division. If the program elects to do so, then all applicable Division policies and procedures must be followed, including establishing a site code and maintaining individual learner records. Required reports should also include these learners.

Effective: June 1, 1994

Policy

Age Requirement for Participation
In an Adult Education Class/Program
Funded through the Division of Adult Education

PURPOSE

To clarify policy regarding age requirements for participation in an adult education class/program.

AGE FOR ELIGIBILITY

In order to participate in an adult education program funded through the Division of Adult Education, an individual must be at least 16 years of age. This requirement applies where any Adult Education dollars are utilized in the classroom/program. When a person under the age of 16 is directly ordered by a court to attend adult education, the local school corporation must determine the appropriate action based upon locally developed guidelines. Documentation of the court order, however, must be retained in the learner's file if he/she participates in adult education and is under 16 years of age.

This age requirement is set out in House Enrolled Act Number 1539 and P.L. 100-297. Copies of each may be requested from our office.

Any individual below the age of 16 is not entitled to participate, even if such individual's hours are not counted for reporting purposes.

RATIONALE

The legislation, both state and federal, specifies the minimum age as sixteen. Without such age limits, there would be no way of protecting the integrity of adult education.

FAILURE TO COMPLY

If a program elects to allow any individual below the age requirement to participate in an adult education class/program, the Division may deny funding for that class/program.

Effective: September 1, 1994

Policy

Cancellation of Classes
For Purposes of Reimbursement

PURPOSE

To clarify which cancelled classes will receive reimbursement.

POLICY

In cases where a class does not accumulate enough "eligible" enrollments to justify continuance, the Division of Adult Education will reimburse for costs if such class is cancelled before 20 hours of operation.

If a school corporation chooses to continue a class beyond 20 hours, and such class never acquires enough "eligible" enrollments for reimbursement, the school corporation is responsible for all costs incurred.

RATIONALE

This policy helps insure that classes which do not elicit sufficient student interest and/or involvement will be cancelled and that dollars dedicated to such class can be reallocated in a timely fashion.

Effective: January 4, 1995

Policy

Adult Basic Education (ABE)/
Adult Secondary Education (ASE)
Combined Lab

PURPOSE

To assist local program directors to serve learners more efficiently while maintaining the integrity of the Adult Basic Education and Adult Secondary Education rules and regulations.

COMBINED ABE/ASC LABS

Administrators may choose to offer a combined ABE/ASC lab to address enrollment or funding limitations created by few students needing certain ASC credits to complete their diplomas.

Administrators must ensure that the teacher assigned to such lab possesses the proper certification as defined in the Adult Education Rules. Another important factor for close administrative monitoring is that the integrity of ABE practices, such as ALP's, standardized testing, etc., as well as rules and regulations particular to ABE and ASC, be maintained.

Effective: February 21, 1995

Policy

GED Testing Hours Not to be Counted As Contact or Instructional Hours

PURPOSE

To clarify the issue of whether or not student contact time during the actual GED testing should be counted in a program's contact or instructional hours.

Any contact hours accumulated by a student while taking the actual GED test are not to be counted by the program as contact or instructional hours.

The GED testing situation has always been kept discreet from the instructional program to ensure valid testing.

Effective: July 1, 1995

Policy

Counting Only Actual Student Contact Hours Per Each Unit of Instruction for Unit Enrollment

PURPOSE

To ensure correct counting of student contact hours per each unit of instruction.

Each unit of instruction stands separately when counting student contact hours for a class enrollment. Only hours actually accumulated by a student during a unit of instruction may be counted toward an enrollment for that unit of instruction. Programs may not arbitrarily assign any portion of a student's contact hours to another unit in order to achieve an enrollment for that unit.

Student hours from various units may be combined for an enrollment only in the case of the quarterly report and Annual Performance Report where individual enrollments, not class enrollments, are being calculated.

The student sign-in sheets will serve as record of actual hours accumulated per unit.

Effective: June 28, 1995

Policy

When to Count
Learner Intake, Orientation, and Testing Hours
For Unit (Class) Enrollment

PURPOSE

To clarify confusion regarding when to count learner intake, orientation, and/or testing hours for unit (class) enrollment.

WHEN TO COUNT
LEARNER INTAKE, ORIENTATION, AND/OR TESTING HOURS TOWARD UNIT ENROLLMENT

Intake, orientation, and/or testing hours accumulated by a learner within a unit of instruction (class), whether those hours are completed with the assigned teacher, aide, or volunteer within that unit, should be counted toward the necessary twelve (12) hours for enrollment of that student within that unit.

WHEN NOT TO COUNT
LEARNER INTAKE, ORIENTATION, AND/OR TESTING HOURS TOWARD UNIT ENROLLMENT

If a learner completes all or part of his/her intake, orientation and/or testing in a separate session outside of a regular 40-80 hour unit of instruction, the hours accumulated cannot be counted toward the necessary twelve (12) hours for enrollment of that student in a unit of instruction for reimbursement purposes. Hours accumulated in a separate session are only counted toward learner enrollment on the cumulative quarterly and the Annual Performance Reports, which reflect individual learner enrollments, not unit (class) enrollments.

HOW TO SET UP THE SEPARATE SESSIONS IN i-STAR

Separate intake, orientation, and/or testing sessions should be identified as class 99932 and also coded as federal (#1) under reimbursement type.

Effective: July 1, 1995

Policy

Identification of Equipment Purchased for
The Local Adult Education Program/Federal Programs

PURPOSE

To simplify the process and paperwork used in identifying, reporting, and inventorying purchased equipment.

Program administrators receiving federal Adult Education funds will be responsible for the labeling and inventorying of such equipment. Identification labels will no longer be issued by the Division. Each local provider must develop and utilize a system for labeling any equipment purchased with local or federal dollars dedicated to adult education. Each local program must also maintain an inventory to identify such purchases and the location of the equipment for future audit purposes. An annual cumulative equipment inventory will be sent to the Division on or before August 31 each year for review and approval.

Effective: August 18, 1995

Policy

Deadlines for All Reports and Budget Modifications

All deadlines established by the Division of Adult Education for quarterly reports, final reports, authorizations, and budget modifications are important to the smooth operation of the state programs. However occasional circumstances beyond the control of the program administrator may cause a delay. If the Division receives a written request for an extension of a deadline on or prior to the deadline date, an automatic ten-day "grace-period" will be granted.

Effective: July 1, 1996

Policy

Adult Education
Regional Coordinating Council

FREQUENCY AND REPORTING OF MEETINGS

Each comprehensive adult education program must convene a meeting of its regional coordinating council *at least three times during the program year.* Minutes of the meeting should be submitted to the program's consultant at the Division of Adult Education with the next quarterly report or after the council has met.

COMPOSITION OF THE COUNCIL

Council membership should include at a minimum, *all providers of adult education programs funded by the Indiana Department of Education* within the region, i.e., partner, outreach, Even Start, *and* those programs that receive state funds only.

The Division strongly encourages comprehensive programs to expand the membership of the councils to include other local entities that serve the same populations. Local organizations that may be appropriate for membership include, but are not limited to: workforce development offices, literacy volunteer organizations, community correction departments, welfare agencies, workplace literacy programs, mental health facilities, housing authorities, community-based agencies, homeless shelters, and colleges/universities.

A regional coordinating council may be created for this specific purpose, or an existing group, e.g., a community planning committee or literacy coalition, may serve in this capacity. If an existing organization serves this purpose, required membership must be included and adult education issues must be specifically addressed at least quarterly. Minutes of the organization will serve as documentation.

Effective Date: April 22, 1997

Policy

Allowable Uses of Adult Education Dollars
In Support of Family Literacy Activities

Family literacy is considered by the Division to be a meaningful programming approach for parents who have literacy and basic skill needs. As such, family literacy programs are legitimate investments for state and/or federal adult education dollars. In making such investments, however, programs must consider the rules governing each funding source to determine what specific components under a comprehensive family literacy program may be supported.

Comprehensive family literacy program components generally include adult education, parenting education, PACT (Parent and Child Together) time, early childhood education, and some level of home-based instruction. Programs may be either primarily center-based where instruction takes place in a classroom setting supplemented by periodic home visits, or may be home-based where instruction takes place individually in the home with supplemental group activities.

USE OF STATE FUNDING

Salaries and fringe benefits of teachers for time related to the delivery of classroom instruction within the components of adult education, parenting, and PACT are eligible *state* costs. Existing state rules and Division policies apply to all units of instruction within a family literacy program in order for such costs to qualify for state reimbursement. "Administration and support" costs associated with these components may also be included in requests for state reimbursement. State adult education dollars may *not* be used to support early childhood instruction or instruction that takes place in the home.

USE OF FEDERAL FUNDING

Federal adult education dollars may be used to support costs associated with adult education, parenting, and PACT, including any of these services delivered in the home. Allowable costs may include--but are not necessarily limited to: staff salaries and fringe benefits, materials and supplies, equipment, purchased services, travel, etc. All federal regulations and Division policies related to the use of federal funds apply. Federal adult education dollars may not be used to support early childhood instruction.

Effective: February 2, 1998

Policy

Teacher Licenses and Contracts – Adult Education

Teachers in adult education must hold a valid Indiana teacher's license, as outlined in Indiana administrative code 511 IAC 11-7-1. Specifically, an adult basic education (ABE/GED) teacher must hold a valid Indiana teacher's license that is related to the proficiencies being taught. An adult secondary credit (ASC) teacher must have a valid Indiana teacher's license in the subject being taught. However, the ASC teacher may instruct and recommend credit for supervised, self-paced study outside the area in which the teacher is licensed if specific conditions are met.

Furthermore, a limited license under 515 IAC 1-2-20 may be granted by the Division of Professional Standards for an individual who does not hold a valid Indiana teacher's license if the employing school superintendent can verify an emergency need for personnel in the subject area of the request. If the request is for a secondary level subject area, the candidate must have at least 15 semester hours of credit in the area of request. All candidates must hold a baccalaureate degree from a state or regionally accredited institution. The instructional emergency permit is valid only for the school year during which it is granted. Contact the Division of Professional Standards at (317) 232-9010 for more information.

Additionally, a school corporation must use the appropriate contract for teachers employed in adult education. The contracts are: (1) a uniform, standard, or regular teacher's contract; (2) a temporary teacher's contract; or (3) a supplemental service teacher's contract. The employment relationship, as defined in Indiana Code 20-28-6-7, is governed by statute.

The regular teacher's contract provides details about the manner of salary payment and any provisions relating to school governance, as prescribed by the state superintendent. The temporary contract is used *only* for employing a teacher to serve in the absence of another teacher who, for specific reasons, has been granted a leave of absence by a school corporation.

Except for non-credit classes, the supplementary service teacher's contract is used for professional services when the length of employment does not exceed 120 days. The position of the Department of Education is that courses in ABE/GED are similar in content to credit classes, and since the language of 511 IAC 11-7-3 regarding teacher contracts for adult education does not exclude ABE/GED from this requirement, the appropriate teacher contract should be used.

The salary of a teacher on a supplemental service contract must equal the salary of a teacher on the regular salary schedule of the school corporation where the teacher will serve. Part-time service on the supplemental service contract is computed on the basis of six hours as a full day of service.

Each contract entered into by a teacher and school corporation must be in writing, signed by both parties, and contain, among other provisions, the salary to be paid during the school year according to a local salary schedule. Computation of a minimum salary, per IC 20-6.1-5, is made locally each school year based on the teacher's training, experience, and degree, completed by the first day of service.

Effective Date: July 1, 1998

Policy

Standardized Testing
For Adult Basic Education Programs

All adult basic education programs are required to assess all learners with one of two approved standardized tests: the Comprehensive Adult Student Assessment System (CASAS) or the Tests of Adult Basic Education (TABE). If the program chooses to use TABE, versions 7, 8, 9, and 10 will be the only allowable versions. No other forms of assessment are to be used for the purpose of pre- and posttesting to report educational gains.

The full battery of assessment is preferred. However, when a student who
  (a) has been assessed and referred by another agency using a Division of Adult Education approved assessment, or
  (b) is interested in only one area of improvement,
a subject specific test may be given. The appraisal or locator cannot be used without using the actual test. Programs using *only* the appraisal or locator are not in compliance with the Indiana Adult Education Assessment Policy.

This policy applies to all adult basic education programs, including English as a Second Language (ESL) and English Literacy/Civics. The comprehensive adult education programs and their subcontractors are required to use CASAS with ESL/Civics learners.

Tests should be administered according to the publishers' established procedures as outlined in the examiners' manual, including time limits.

Students who are functioning at low levels and cannot be assessed may be waived from this policy.

Each student is to be pretested prior to enrollment (within the first 12 hours of instruction). Posttesting should occur between 30 and 50 hours of instruction, at the discretion of the instructor. There are no set posttesting dates. A different form of the same test must be used for the posttest.

Placement in an educational functioning level will be done using the current guidelines of the USDOE, Division of Adult Education and Literacy.

Adult education programs in the workplace are exempt from this assessment policy.

Effective: January 1, 2003

Ken Woodruff (center), Retired, Portage Adult Education
John R. Craddock Award Recipient 2003

Money never starts an idea; it is the idea that starts the money.

-- W. J. Cameron

Funding…Budget Information

Adult Education Funding Sources

SOURCE of FUNDS	STATE	FEDERAL	LOCAL MAINTENANCE of EFFORT
Authorized by	State Legislature	Workforce Investment Act Adult Education and Family Literacy Act Title II	Local school corporation(s): must be at least 20% of federal funds received
Acquisition Process	Submit Notification of Intent to Offer Adult Education Program; Funds reimbursed following submission of Adult Education Final Report form *(Refer to page #111)*	Comprehensive Program Grant Application (every three years); Annual budget; Paid via scheduled deposits	Approval of local school board(s); Paid per local agreement
Utilized for	Certified salaries, up to 15% administration and support costs (include: supervision, guidance, educational media, instructional support, clerical, public information/ recruitment, data collection, processing, reporting)	Administration (5-20%), instructional salaries, equipment, materials, travel, recruitment, operation and maintenance, etc.	Administration, salaries, equipment, materials, travel, recruitment, operation and maintenance, etc.
Accountability	Program average of 10 enrolled students, minimum of 5 in each unit of instruction (40-80 hours for ABE, 60-75 hours for ASC)	National Reporting System – Annual Performance Report: percentage of students achieving goals	Report services, outcomes, local benefits to school corporation, and program's coordinating council
Reports (See Web site for due dates.)	(Summer/Fall) Adult Education Final Report Form; (Spring) Adult Education Final Report Form; Mid-year, Initial, and Final Annual Performance Reports; (Optional) Administrative and Support Costs Final Report Form	Cumulative Quarterly Report; Mid-year, Initial, and Final Annual Performance Report; Cumulative Quarterly Expenditure Report; Final Fiscal Report; Final Equipment Inventory; Itemization of Local Expenditures; Final Equipment Inventory; Institutionalized Adults Served; Coordinating Council Minutes; Proration of Employee Time	Local Mandate (Recommended: quarterly reports to superintendent/school board)

State Adult Education Funds

The Indiana Department of Education, Division of Adult Education uses state funds to reimburse adult education programs for the following costs:

Certified teacher salaries and fringe benefits paid by the school corporation for:

- A *standard unit of instruction,* defined as:

    ABE/GED/ESL – no less than 40 and no more than 80 teacher hours, with no less than 5 eligible adult students who each have a minimum of 12 hours of attendance in the unit.

    Adult Secondary Credit – no less than 60 and no more than 75 teacher hours, with no less than 5 eligible adult students who have a minimum of 6 hours of attendance in the unit.

    (Note: A student is considered "eligible" if he or she is at least 16 years of age and officially withdrawn from school.)

- An overall program average of ten eligible adult students enrolled per unit of instruction. If the average program enrollment is less than ten, the reimbursement will be reduced proportionately; i.e., if the program has an average of 9 students per unit, the program will be reimbursed at 90% of its allocation.

- An otherwise standard reimbursable unit of instruction that is canceled before the end of 20 hours of instruction due to insufficient enrollment.

- A school corporation may receive reimbursement for a maximum of three (3) hours of staff in-service per teacher per term.

Administrative and Support costs up to 15% of the allocation including salaries and fringe benefits, printing/postage, local travel, materials and supplies, and equipment limited to the following categories:

- Supervision
- Guidance Services
- Educational Media/Library Services
- Classroom Instructional Support/Aides
- Clerical
- Public Information/Recruitment
- Data Collection, Processing, and Reporting

State Adult Education Funds *(continued)*

There are two terms for which a program reports expenses to be reimbursed during the program year.

- Summer/Fall Term runs July 1 through January 31

- Spring Term runs February 1 through June 30

Programs have some flexibility in how units of instruction are planned within the terms.

- A unit of instruction may start before the term begins.

    Example:

    A program may begin summer classes on June 15. If there are not enough instructional hours to make a 40-hour unit before June 30, the program may include this unit in the Summer/Fall term of the next program year rather than the Spring Term.

    In this example, the unit starts before the term officially begins on July 1.

    The program is not allowed to run the unit into July and claim it as part of the Spring Term.

- A unit may also conclude before the term ends, but must not conclude after the term ends.

    Example:

    A program may also choose to end all of its Summer/Fall units of instruction at the end of December in order to coincide with the school district's semester.

    In this example, the units end before the official end of the term, which is January 31.

Prior to the beginning of each term, the program will be sent a letter informing the school corporation of the allocation for that term. The allocation is determined by a formula:

Base + (**enrollments** [*reported for the same term last program year*] **X dollar amount** [*determined by state legislature's adult education budget – usually $25 to $35]*).

This is the amount the school corporation can expect to be reimbursed for salaries and administration/support costs if all rules and regulations are followed and the full amount of the allocation is spent. The state allocation is always paid after the end of the term. Each program must submit an Adult Education Final Report Form, which is due approximately two weeks after the end of the term, in order to be reimbursed for these costs.

State Adult Education Funds *(continued)*

Administrative Duties

- File the allocation letter in an easily accessible place.

  You will need to refer to it later.

- Set units of instruction.

  Examine enrollment history of the class. If attendance is consistently high, you can set shorter units of instruction to maximize enrollments. If the attendance is consistently low, you may wish to set longer units so that the class is sure to get 5 eligible enrolled students, and likely to get the 10 eligible enrolled required for the program average.

  (**Note:** Students must attend at least 12 hours for ABE/GED or ESL or 6 hours for ASC to be enrolled – students may be enrolled in more than one unit of instruction.)

- Get salary and benefit information.

  Get this information from the payroll department. (Remember, this can change in the middle of the year, so re-confirm the amounts each term.) Multiply each instructor's hours for the term by his/her salary + benefits. To **project total allocation expenditures**, add up all instructor costs and compare this to the allocation amount.

  *If you will **overspend** your allocation:*

  Will you seek additional funds from alternate sources?

  School Corporation
  Write a Special Grant
  Seek funds from Business/Industry

  Will you cut hours or classes?

  *If you will **underspend** your allocation:*

  Will you add hours or classes in order to better serve your community?

  Will your program be better served by claiming the unspent portion of the allocation as administrative and support costs?

- **Note:** Any part of the allocation that is not spent will be lost. **If you under-spend significantly, you may not only lose money that year, but also in that term every year thereafter.**

State Adult Education Funds *(continued)*

- Monitor class enrollments on a regular basis.

    If a class is struggling to get 5 enrolled students within 20 hours of class time, you must make a decision about closing the class. Remember, the state will not reimburse salary costs for any class with less than five enrolled; thus, your school corporation or some other funding source will cover that cost. If you close the class before it has met for 20 hours, the state will reimburse that salary cost.

- Monitor state expenditures.

    Following are some suggestions:

    In approximately November and April, look at what has been spent and project the amount that will be spent by the end of the term. Is your program on track to spend the amount you projected? Sometimes weather, substitute teachers, raises, etc. can change planned expenditures. If you look at the situation in the middle of the term, you still have a few weeks to make some adjustments (add hours, find extra funding, look at administration and support costs that could be claimed, etc.).

    Cultivate a good relationship with the payroll department. You may be asking for information that may cause them a bit more work, but in the end it may save the school corporation money. Let them know the work is for the benefit of the whole district.

    Consider keeping a spreadsheet of actual teacher pay and benefits based upon pay stubs. At the end of the term, you can compare this to the i-STAR report to verify expenditures. If you use this system, you can monitor expenditures at any time during the term

- Verify program data is consistently being entered into the i-STAR software, if it is used by your program.

    If you do not have registration and enrollment data, you *cannot* run the report by the due date.

- Examine the reimbursement report before you send it in!

    Check the following:

    - √   Is the total cost claimed accurate and verified by your business office?

    - √   Is the total actual cost what you have projected it to be? If not:

        Have fringe benefit costs been added in?

State Adult Education Funds *(continued)*

Is the hourly rate + fringe correct for each instructor?
(Divide the Actual Cost for the unit by the Total Instructional Hours.)

√   Are the Total Instructional Hours correct for each unit of instruction?

√   Have all the units of instruction been reported, including Adult Secondary Credit classes?

√   Has the software calculated totals correctly?

Does each unit have at least 5 eligible enrolled students? (Be sure to add enrollments for both the non-graduates and the graduates in each unit.) Remember, the state will not reimburse teacher costs for any class with less than five eligible enrolled students.

Is the average enrollment per unit of instruction at least 10 eligible students? To find this, add the total enrollment from columns F and I; then divide by the number of units or classes *(refer to Final Report Form – Annotated on page #69)*. Remember, if the program average is below 10, your program will be reimbursed proportionally. For example, if your allocation is $10,000 but your average enrollment per unit is 9, you will only receive 90% of your allocation, or $9,000. If the program average is 8, you will receive 80% or $8,000, even though you may have spent the full $10,000 that was your allocation.

Are units of instruction between 40 and 80 hours for ABE/GED/ESL or 60-75 hours for ASC? If you set them up correctly at the beginning of the term, they should be.

- Prepare the Administrative and Support Cost Final Report Form, if appropriate.

Common Administrative Errors

- Failure to project and monitor expenses and then discovering the program has over- or under-spent the allocation when it is too late to make changes

- Failure to monitor class enrollments and then finding that one or more classes cannot be reimbursed because of low enrollments or that the full allocation will not be received because the class average is not 10

- Failure to enter accurate salary and fringe benefit costs into the software

- Failure to communicate reporting/funding standards to instructional and clerical staff
(They will be more likely to enter data accurately and on time if they understand the importance of what they do.)

- Failure to examine the report before it is sent in

Adult Education Final Report Form – Annotated

Indiana Department of Education — Adult Education Final Report Form

Corporation Name: _____
Semester: _____
Date From/To: _____

Adult Education

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)	(M)	(N)	(O)	(P)	(Q)	(R)
		Total Instr Hours	Total In-Serv Hours	Non-Graduates			Eligible Adults	Graduates					Instructor, Social Security Number, or Last Name	Full/Part-Time	Credits NonSch Exper (ASC)	Credits Earned By Exam	Actual Cost (including Elig Fring Inserv)
				Regis-tered	Enroll	Ct Hrs (ABE)	Regis-tered	Enroll	Ct Hrs (ABE)	K-12 Regis-tered (ASC)	Non-Elig Grads (ASC)	Elg Ads Earning Credits (ASC)					
Seq No	Course Code and Title		Each teacher, each term, can receive up to 3 hours	Attend 2 classes or 1 orientation	ABE – 12 hours / ASC – 6 hours Minimum of 5 eligible students *		High School Diploma or GED (16+ years)	*		NA – Not counted in official count	NA – Not counted in official count	NA – Not counted in official count	Teacher's Social Security Number / Last Name	NA	NA	NA	Salary and fringe benefits
NA	ABE or ASC																

NOTE: The totals of columns F + I, divided by total number of classes, must equal 10 or more students.

*Total of columns F + I **for each class** must add up to at least 5 students.

Federal Adult Education Funds Overview

Federal Adult Education funds are distributed by the Indiana Department of Education, Division of Adult Education through a competitive process that requires a narrative grant application on a multi-year cycle. To qualify for federal funds, an agency, organization, institution, or school must comply with state and federal eligibility requirements. *(See Indiana Adult Education Standards for Comprehensive Programs, pages #23-25.)*

In addition to the Indiana Standards, programs approved for Adult Education funding are required to:

- Submit a detailed, line item budget on a yearly basis.
- Provide local maintenance of effort equal to either 20% of the federal funds received or the previously established local match level, whichever is greater.
- Set, monitor progress toward, and report outcomes for performance measures based upon educational gain, employment, diploma, and higher education categories established by the National Reporting System.

Line Item Budget

Prior to the beginning of the program year, which runs July 1 through June 30, each federally funded adult education program will submit a line item budget. The program will detail all proposed instructional and non-instructional expenditures. Non-instructional costs exceeding 5% of the total federal grant require a waiver and may not exceed 20% of the total grant amount. Programs must also report the percentage of the total federal grant to be used to serve institutionalized adults. The Division of Adult Education may not be able to fund part or all of these expenses due to a federal limit of 10% on the state's expenditures for institutionalized adults.

Upon approval of the budget, federal funds will be disbursed on a regular schedule as requested by the grantee. Disbursement schedules should approximate individual program expenditures. For example, if a program does not have expenditures in July, disbursements should not begin before August. Grantees may choose to receive equal monthly payments, quarterly payments, or vary the level of monthly payments to coincide with the timing of expenditures. **Grantees may not maintain a cash balance in excess of 10% of the amount received.** Balances are monitored on a quarterly basis. Programs must submit the ABE Cumulative Quarterly Expenditure Report and, if applicable, the ABE Quarterly Proration of Employee Time. Additional fiscal reports are due at the end of the program year *(see Due Dates for Federally Funded Comprehensive Programs, page #113)*. All fiscal reporting forms are available on the Division of Adult Education Web site:

<div align="center">

www.doe.state.in.us/adulted/welcome.html

</div>

Federal Adult Education Funds Overview *(continued)*

Line Item Budget *(continued)*

Program administrators must monitor expenditures throughout the program year. All funds must be spent or encumbered by June 30. Line item budgets may be modified during the program year if there is a need to do so. The deadline for submitting budget modifications is April 15. At the conclusion of the program year, any line item may be over-spent or under-spent by 10% without a budget modification, providing the total grant amount does not change. However, if a line item is over-spent, exceeding the total grant amount, the grantee will be responsible for the amount of the overage. Likewise, because the grant funds are disbursed throughout the program year, the grantee will return any unexpended funds to the state at the end of the program year.

All fiscal records should be retained for five years. *(Note: All student records must be maintained for five years previous to the current program year.)*

Local Maintenance of Effort

The line item budget must also reflect local expenditures. The local program must provide maintenance of effort equal to the greater of either 20% of the total federal funds received or the previously established level. This amount is specified when the federal base grant awards are announced. At their own discretion, programs may increase the amount of local maintenance of effort reported; however, once increased, the local responsibility will remain at least at that level in subsequent years.

Guidelines for local maintenance of effort can be found in Requirements for Local Match *(refer to page #77)*. Local maintenance of effort is reported on the ABE Itemization of Local Expenditures report form at the end of the program year.

Performance Measures

Prior to the beginning of the program year, each federally funded adult education program is required to set performance measures for eleven educational functioning levels and four employment, diploma, and postsecondary education categories. Standardized assessment is used to determine initial learner placement and educational gain in the educational functioning levels. Individualized student goal setting, monitoring, and follow-up survey or data matching is used to determine outcomes for the employment, diploma, and higher education categories. The National Reporting System (NRS) defines and sets data collection and reporting standards for each of these measures. This information is available on pages #125-130 of this handbook or at www.nrsweb.org.

Federal Adult Education Funds Overview *(continued)*

Performance Measures *(continued)*

Each federally funded adult education program must maintain a system for collecting data, monitoring student goals, and reporting outcomes to the Division of Adult Education. The Annual Performance Report provides information regarding progress toward achievement of the performance measures. This data is reported twice during the program year and in a final report due November 1 of the following program year. The Division of Adult Education provides each comprehensive adult education program with the i-STAR software, an individual student record database capable of generating the Annual Performance Report, and many other required program reports. Program administrators should review report data for accuracy before submission to the Division of Adult Education. In addition, because the reports reveal a great deal about program strengths and weaknesses, report data should be utilized as a tool for program evaluation and improvement.

The Division of Adult Education provides additional federal funds to local programs in the form of Performance and Incentive Awards for individual student goal achievement (performance awards) and for meeting performance measures (incentive awards) subsequent to the submission of the Initial Annual Performance Report. These awards constitute new federal monies for adult education programs and must be accepted by the submission of an addendum to the program's original line item budget. Award information as well as addendum forms are posted on the Division's Web site. Most program administrators utilize these funds for ancillary program supplies and equipment and use the base grant for fixed program expenses. It is wise to plan in advance for the additional funds; however, the amount of the award will change from year to year.

Since some student goals are not achieved until after the program year is complete, programs are given the opportunity to follow up on student goals after the Initial Annual Performance Report is submitted in July. Goals set but not met by students before exiting the program may be followed up after student exit and reported on the Final Annual Performance Report due November 1 or on Table 13 of the Annual Performance Report in the following program year. Performance awards for these achievements will be awarded with the following year's federal base grant award. The Local Program Survey is also due November 1. Note that on this form, the program must report the total number of students responding to the survey by goal. The Division of Adult Education requires that a minimum of 50% of the students setting an employment, diploma, or postsecondary education goal be contacted and respond to the survey. If requested by the state staff, documentation of student responses should be available for review.

Federal Adult Education Funds Overview *(continued)*

Other Federal Funding Opportunities

Federal funds are also periodically made available on a competitive basis in the following categories:

- **Workforce District Grants** for the purpose of assessing workforce basic skills needs, overseeing workforce professional development, and coordinating basic skills instruction for business and industry

- **Adult Education Outreach Grants** for the purpose of providing adult education and literacy instruction with support services to adults in under-served geographical areas of Indiana and/or in hard-to-serve target populations, that either add new services to or improve existing services within an adult education district

- **English Literacy/Civics Education Grants** for the purpose of assisting local eligible providers with the integration of contextualized civics instruction into existing English literacy programs and to expand access to English literacy/civics education

Agencies and organizations eligible to apply for federal funds include community based and faith based organizations, volunteer literacy organizations, higher education institutions, local education agencies, libraries, public housing authorities, correctional institutions, and non-profit organizations.

For more information, contact the Division of Adult Education staff.

Summary of Administrative Duties

- Ensure the adult education program complies with all Indiana standards
- Develop and submit a line item budget for the federal base grant
- Determine the disbursement schedule most favorable for your program
- Regularly and frequently monitor federal expenditures in light of the budget line items
- Submit budget modifications by April 15 if necessary
- Retain fiscal reports and student records for five years
- Ensure that local maintenance of effort levels are met and reported
- Set performance measures based on National Reporting System standards
- Ensure that staff understand the NRS standards and have a system for appropriate setting, monitoring, and reporting of student goals and outcomes at the local level
- Monitor data entry for timeliness and accuracy
- Monitor progress toward achievement of performance measures and communicate this progress to staff
- Plan for Performance and Incentive Award funds and submit budget addendum
- Submit reports to the appropriate state consultant on time and after reviewing them for accuracy

Effective: 06/01/2006

Budget Category Definitions

Category		Definition of Allowable Expenses
10000	Instruction	Related directly to teaching adult learners such as teacher and teacher aide salaries, books, equipment, student transportation, etc.
21200	Guidance Services	Related to provision of outreach, intake, counseling, follow-up, or other services in support of instruction of adult learners (excluding child care and transportation)
22100	Improvement of Instruction	Related to professional development for staff and volunteers including salaries, travel, conference fees, and materials
13900	Administration	Related to program administration such as staff and volunteer supervision, bookkeeping, audit, interagency coordination, secretarial/receptionist salaries, and other justifiable administrative costs
25400	Operation & Maintenance	Related to the upkeep of equipment and facilities used by the program for instruction and related services
26200	Planning & Evaluation	Related to instructional planning, evaluation activities, record keeping, data-entry, data analysis, etc.
26490	Employee Benefits	Related to employee benefits
39500	Child Care Services	Related to provision of childcare to children of adult learners participating in the program including salaries, materials, equipment, transportation, etc.
110	Certified Salaries	Salaries of professional teachers providing instruction or other services in the program who hold a valid Indiana teacher's license
120	Non-certified Salaries	Salaries for staff providing instructional assistance, childcare, or other services who do not hold a valid Indiana teacher's license
300	Purchased Services	Related to goods and services necessary for effective program operation that must be bought from vendors such as telephone, rent (where allowed), service agreements, consultant fees, audit fees, etc.

Budget Category Definitions *(continued)*

Category *(continued)*	Definition of Allowable Expenses *(continued)*
332 Travel	Related to staff and/or student travel necessary for the effective program operation
410 Supplies	Related to consumable materials and items necessary for effective program operation including books, paper, writing instruments, videotapes, audiotapes, educational games, etc.
540 Equipment	Related to purchase of equipment needed for effective program operation including videocassette and DVD players, tape recorders, etc.
670 Other Expenses	Related to goods and services that do not appear to fit into any other category including indirect costs
690 Technology	Related to expenses for personal computers, monitors, printers, scanners, Web cameras, software, connectivity expenses, including Internet services, distance-learning equipment, and costs for technology training and professional development for teachers, administrators, and other staff.

EXAMPLES OF COMMON ACCOUNT CODES

10000/110	certified teachers	10000/120	non-certified teacher aides
10000/332	student transportation assistance	10000/410	instructional software/supplies
10000/540	instructional equipment	21200/110	certified intake coordinator
21200/110	certified literacy coordinator	21200/120	non-certified follow-up aide
21200/410	student follow-up supplies	22100/332	staff travel to conferences
13900/332	administrative travel	25400/330	equipment repair contracts
26200/110	curriculum development	26200/120	data-entry clerk's time
26490/110	certified staff benefits	26490/120	non-certified staff benefits
39500/120	child care worker salary	39500/410	child care supplies

Budget Category Definitions *(continued)*

Non-Instructional Costs

Non-instructional costs should be limited to 5% of the federal request per year unless a waiver is requested. Non-instructional costs in excess of 20% will be allowed only in exceptional circumstances. Non-instructional costs include the following:

- Administrative and secretarial salaries and other administrative expenses
- Professional development activities
- Volunteer recruitment, training, and supervision
- Data-entry and record-keeping of program statistics and fiscal reports
- Audit fees
- Indirect costs
- Any other expenses that do not directly pay for instruction and student support services

Non-Allowable Costs

The following expenses are not allowed with federal funds, except as noted:

- Food (except for child care snacks)
- Rent (except where applicant can document that all efforts to obtain rent-free facilities have been denied)
- In family literacy programs, salaries of teachers other than adult educators
- GED examiner and testing (except for GED test fee)

The Division of Adult Education will determine the appropriateness of all requests and reserves the right to negotiate with successful applicants.

Effective: 03/01/05

Requirements for Local Match

In order for the state to achieve and maintain the necessary non-federal expenditure on an equitable basis, the state agency requires each recipient of federal funds for a comprehensive program of instruction to match at the 20 percent or the previously established level.

The state educational agency has established the following policies on local match:

- The contribution must represent an actual outlay of non-federal funds for the operation of the adult education program.

- The expenditure must be documented and that documentation must be kept with the fiscal records of the program for the purposes of audit.

- The expenditure must be one which would not be made in the absence of the adult education program.

- Any prorated cost, which is at least 10 percent and is attributed to the program, such as a salary or the use of a facility, may be used as local match. It is recommended that if prorated personnel costs will be used, the contracts of those personnel specify their responsibilities in the adult education program.

- Approved indirect costs may be used as match.

Proposed 20___ - 20___ Budget
Adult Education and Family Literacy Act
Comprehensive Adult Education Program
CFDA 84.002A

Name and Address of Agency:	Program Number FY 20__ -	Report Period (Month, Day, Year) From: 7/1/20___ To: 6/30/20___
	LEA CODE (School Corporation):	

Account Numbers	Functional Categories	110 Salaries Certified	120 Salaries Non-Certified	300 Purchased Services	332 Travel	410 Supplies	540 Equipment	670 Other Expenses	690 Technology	Totals
10000	Instruction									
21200	Guidance Services (intake, follow-up, counseling, etc.)									
22100	Improvement of Instruction (in-service, training, etc.)									
13900	Administration									
25400	Operation & Maintenance									
26200	Planning & Evaluation (data entry, curriculum, development, etc.)									
26490	Staff Service (employee benefits)									
39500	Child Care Services									
a	Total Request for **FEDERAL** Funds									
b	Estimate of **LOCAL** Expenditures									

Budget Detail for *Instructional* Costs

FY 20___ Base

Page _____ of _____
(Number consecutively with Non-instructional pages)

Program Name: _____

Be as specific as possible for all lines and columns. Complete all columns. Missing or inconsistent information will delay budget approval.

Itemized Expense Provide the two account numbers from the budget grid (e.g., 10000/120, 21200/410) for each expense below	Cost/Unit	Qty	Federal Funds Requested	Non-Federal Local Effort Needed
			Totals:	

(Make additional copies as needed.)

Budget Detail for *Non-Instructional* Costs

FY 20___ Base

Page ____ of ____
(Number consecutively with Instructional pages)

Program Name: _____

Be as specific as possible for all lines and columns. Complete all columns. Missing or inconsistent information will delay budget approval.

Itemized Expense Provide the two account numbers from the budget grid (e.g., 10000/120, 21200/410) for each expense below	Cost/Unit	Qty	Federal Funds Requested	Non-Federal Local Effort Needed
Totals:				

(Make additional copies as needed.)

FY 20___ Federal Comprehensive Program
Proposed Budget Summary
for July 1, 20___ - June 30, 20___

Base + Workforce District = Basic Grant Award

Complete **all blocks** on the chart. If a block is not applicable, indicate with "N/A."

Program Name:	Base	Workforce Grant	FY 20___ Basic Grant Award
1. Total non-instructional costs	$	$	$
2. Total instructional costs	$	$	$
3. Total federal funds requested	$	$	$
4. % Non-instructional costs (Line 1 ÷ Line 3)*			%*
5. Total local effort provided (must be at least equal to previous year's local effort as reported on Final Fiscal Report)			$
6. % Local match (Line 5 ÷ Line 3) must be at least 20% of the federal funds received or previously established local match level – whichever is greater			%
7. Federal funds for correctional/ institutionalized adults			$
8. % Institutionalized adults (Line 7 ÷ Line 3)			%
9. Proration of employee time required for the following staff (list names/titles):			

In the space below, list meeting dates for the district's Adult Education Coordinating Council in program year 20___-20___. **A minimum of three meetings is required.**

* If > 5.0 %, submit "Request for Waiver of Non-Instructional Costs in Excess of 5%."

Request for Waiver of Non-Instructional Costs in Excess of 5% of Federal Adult Education and Family Literacy Act Funds

The applicant agency, _____, requests a waiver to expend _____% of its federal budget for non-instructional costs for fiscal year FY 20___ for the comprehensive adult education program under the Adult Education and Family Literacy Act.

We, the undersigned, acknowledge that 95% of the federal grant is expected to be used for instructional purposes unless a waiver is approved. One or both of the following categories must apply. We further understand that a waiver for non-instructional costs in excess of 20% of the federal budget amount will be granted only in exceptional circumstances.

(*Check one or both statements, as applicable, providing rationale for the waiver request.*)

(   )   The non-instructional activities relate to the achievement of state goals to improve program quality and level of service, as explained here:

(   )   A 5% limit on non-instructional expenditures would not provide for sufficient planning, management, evaluation, or coordination, as explained here:

We provide these assurances/justifications with respect to this waiver request.

_____   _____
Program Director Signature   Business Manager

_____
For State Use Only

A waiver for fiscal year 20___   (   ) is granted   (   ) is not granted

_____   _____
State Director   Date

Budget Modifications

Deadline for Modifying the Federal Budget – April 15

Throughout the year, but particularly during the month of March, please:

- Review expenditures.

    (Note: Your corporation's business office can usually help you confirm that your figures are accurate.)

- Estimate the expenses you will have in each of the budget line items until June 30.

- Make any purchases or encumber money by June 30.

- If you will over-spend or under-spend any line item by more than 10%, you **must** do a budget modification.

    (Note: You may move 10% of any line item to another line item [or items] without a budget modification as long as the total budget amount does not change.)

Procedure for Modifying the Federal Budget

The request must be made to the Division of Adult Education in writing by April 15.

Briefly provide rationale for the change.

- *Why* do you need to move money into or out of a particular line item?

    (Remember: Total amount of your federal grant cannot change.)

    Example: Request to move $250.00 out of 26490/120 Non-Certified Benefits
    Request to move $500.00 out of 10000/410 Instructional Supplies
    Request to move $750.00 into 10000/540 Instructional Equipment

    Rationale: One aide will be leaving in January and will be replaced with a volunteer. Instructional supplies are currently up to date.
    Copy machine in classroom is beyond repair; will contract to lease a machine at $750.00 for the remainder of the program year.

Budget Modifications *(continued)*

Procedure for Modifying the Federal Budget *(continued)*

Recheck the percentage of instructional and non-instructional expenses in relationship to the total budget amount.

(Remember: A maximum of 5% of the total may be spent on non-instructional expenditures unless a waiver was previously signed.)

Submit the budget grid with the changes penciled in.

The Division staff will review your request for approval.

Keep in mind: April 15 is the last date to submit modifications.

After April 15: Any money over-spent in a line item will be covered by school corporation funds or other funds available to you.

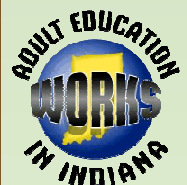**Note: Any money from a line item that is not spent by June 30 must be returned to the state.**

Greg Long, South Bend Adult Education
Outstanding Adult Education Administrator 2003

Unless a man undertakes more than he can possibly do, he will never do all that he can.

-- Henry Drummond

Reporting…Program Data

Adult Education Administrative Tasks Calendar

First Quarter

July

- Final Report for Spring Term Reimbursement is due on July 15 (State Report).

- Final Administrative and Support Costs Report Form is due on July 15 (State Report).

- Supervise completion of year-end data entry and continuation of achievement follow-up.

- Final Cumulative Quarterly Report, Expenditure and Statement of Balance, and Coordinating Council minutes are due on 31st, along with Proration of Employee Time, if applicable (Federal Reports).

  Review the report before sending it to your state consultant.

- Initial Annual Performance Report is due on 31st (Federal Report).

  Review the report before sending it to your state consultant.

August

- ABE Final Fiscal Report is due along with Itemization of Local Expenditures.

- ABE Final Equipment Inventory is due.

- ABE Institutionalized Adults Served report is due.

September

- Review progress toward performance measures and communicate this information to staff.

Adult Education Administrative Tasks Calendar *(continued)*

Second Quarter

October

- Supervise the completion of follow-up efforts.

    Ensure that the information is entered on i-STAR software for Final Annual Performance Report.

November

- Final Annual Performance Report and Local Program Survey Report due November 1st (Federal Report).

    Review the report before sending it to your state consultant.

- Monitor state allocation expenditures for Summer/Fall Term.

    Will all be spent?

    Do adjustments need to be made or additional funds sought?

December

- Set or review units of instruction for Spring Term.

- Review progress toward performance measures and communicate this information to staff.

Adult Education Administrative Tasks Calendar *(continued)*

Third Quarter

January

- Second Cumulative Quarterly Report, Expenditure and Statement of Balance, and Coordinating Council minutes are due on the 15th, with Proration of Employee Time, if applicable (Federal Report).

    Review the report before sending it to your state consultant.

- Project state budget expenditures for Spring Term by multiplying teacher salary and benefits times total number of hours in instructional units.

    Compare this total to state allocation for Spring Term.

    Determine if adjustments need to be made.

February

- Final Report for Summer/Fall Term Reimbursement is due on February 15 (State Report).

- Final Administrative and Support Costs Report Form is due on February 15 (State Report).

- Notification of Intent to Offer State Reimbursable Adult Education Programs for the next program year is due February 15.

- Mid-Year Annual Performance Report is due February 15.

March

- Review year to date federal budget expenditures and project expenses for the remainder of the year.

    Will a budget modification be needed?

- Review progress toward performance measures and communicate this information to staff.

Adult Education Administrative Tasks Calendar *(continued)*

Fourth Quarter

April

- Third Cumulative Quarterly Repor*t,* Expenditure and Statement of Balance, and Coordinating Council minutes are due on the 15th, along with Proration of Employee Time, if applicable (Federal Report).

   Review the report before sending it to your state consultant.

- Monitor state allocation expenditures for Spring Term.

   Will all be spent?

   Do adjustments need to be made or additional funds sought?

- Budget modifications for federal funds are due April 15.

May

- Set units of instruction for the next program year.

- Develop federal budget for the coming program year.

   Submit to state consultant along with optional grant proposals.

- Review progress toward performance measures and communicate this information to staff.

June

- Project state expenditures for Summer/Fall Term by multiplying teacher salary and benefits by total number of hours in instructional units.

   Compare this total to state allocation for Summer/Fall Term.

   Determine if adjustments need to be made.

- Supervise data entry and follow-up efforts for end of year reports.

Adult Education – Annual Performance Report (APR)

Check: ❐ **Initial Annual Performance Report**
Due on/or before: July 31

Check: ❐ **Mid-Year Annual Performance Report**
Due on/or before: February 15

Check: ❐ **Final Annual Performance Report**
Due on/or before: November 1

Check One: **ABE** ❐   **ASC** ❐

Program Year: **July 1, 20___ to June 30, 20___**

Agency: _____

Corporation Code: _____

Federal Program Number FY-_____

Administrator's Signature: _____

Submit two (2) copies to: Indiana Department of Education
Division of Adult Education
Room 229, State House
Indianapolis, IN 46204-2798

Revised: 07-01-06

Table 1

Participants by Entering Educational Functioning Level, Ethnicity, and Sex

Enter the number of participants* by educational functioning level**, ethnicity***, and sex.

Entering Educational Functioning Level (A)	American Indian or Alaskan Native Male (B)	American Indian or Alaskan Native Female (C)	Asian Male (D)	Asian Female (E)	Black or African-American Male (F)	Black or African-American Female (G)	Hispanic or Latino Male (H)	Hispanic or Latino Female (I)	Native Hawaiian or Other Pacific Islander Male (J)	Native Hawaiian or Other Pacific Islander Female (K)	White Male (L)	White Female (M)	Total (N)
ABE Beginning Literacy													
ABE Beginning Basic Education													
ABE Intermediate Low													
ABE Intermediate High													
ASE Low													
ASE High													
ESL Beginning Literacy													
ESL Low Beginning													
ESL High Beginning													
ESL Intermediate Low													
ESL Intermediate High													
ESL Advanced													
Total													

* A participant is an adult who receives at least twelve (12) hours of instruction. Work-based project learners are not included in this table.
** See attached definitions for educational functioning levels.
*** A participant should be included in the racial/ethnic group to which he or she appears to belong, identifies with, or is regarded in the community as belonging.

OMB Number 1830-0027, Expires 10/31/08.

Table 2
Participants by Age, Ethnicity, and Sex

Enter the number of participants by age*, ethnicity, and sex.

Age Group (A)	American Indian or Alaskan Native		Asian		Black or African-American		Hispanic or Latino		Native Hawaiian or Other Pacific Islander		White		Total
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	(N)
16–18													
19–24													
25–44													
45–59													
60 and older													
Total													

*Participants should be classified based on their age at entry. Participants entering the program prior to the current program year should be classified based on their age at the beginning of the current program year. Work-based project learners are not included in this table.

The totals in Columns B-M should equal the totals in Columns B-M of Table 1. Row totals in Column N should equal corresponding column totals in Table 3.

OMB Number 1830-0027, Expires 10/31/08.

Table 3
Participants by Program Type and Age

Enter the number of participants by program type and age.

Program Type (A)	16 – 18 (B)	19 – 24 (C)	25 – 44 (D)	45 – 59 (E)	60 and Older (F)	Total (G)
Adult Basic Education						
Adult Secondary Education						
English as a Second Language						
Total						

The total in Column G should equal the total in Column N of Table 1.
The totals in Columns B–F should equal the totals for the corresponding rows in Column N of Table 2 and the total in Column N of Table 1.

OMB Number 1830-0027, Expires 10/31/08.

Table 4

Educational Gains and Attendance by Educational Functioning Level

Enter number of participants for each category listed, total attendance hours, and calculate percentage of participants completing each level.

Entering Educational Functioning Level (A)	Total Number Enrolled (B)	Total Attendance Hours (C)	Number Completed Level (D)	Number Who Completed a Level and Advanced One or More Levels (E)	Number Separated Before Completed (F)	Number Remaining Within Level (G)	Percentage Completing Level (H)
ABE Beginning Literacy							
ABE Beginning Basic Education							
ABE Intermediate Low							
ABE Intermediate High							
ASE Low							
ASE High*							
ESL Beginning Literacy							
ESL Low Beginning							
ESL High Beginning							
ESL Intermediate Low							
ESL Intermediate High							
ESL Advanced							
Total							

The total in Column B should equal the total in Column N of Table 1.
Column D is the total number of learners who completed a level, including learners who left after completing and learners who remained enrolled and moved to one or more higher levels.
Column E represents a subset of Column D (Number Completed Level) and is learners who completed a level and enrolled in one or more higher levels.
Column F is students who left the program or received no services for 90 consecutive days and have no scheduled services.
Column D + F + G should equal the total in Column B.
Column G represents the number of learners still enrolled who are at the same education level as when entering.

Each row total in column H is calculated by using the following formula: $H = \dfrac{Column D}{Column B}$

Work-based project learners are not included in this table.
* Completion of ASE high level is attainment of a secondary credential or passing GED tests.

OMB Number 1830-0027, Expires 10/31/08.

Table 4B
Educational Gains and Attendance for Pre- and Posttested Participants

Enter number of pre- and posttested participants for each category listed, calculate percentage of posttested participants completing each level, and enter total attendance hours for posttested completion.

Entering Educational Functioning Level (A)	Total Number Enrolled Pre- and Posttested (B)	Total Attendance Hours (C)	Number Completed Level (D)	Number Who Completed a Level and Advanced One or More Levels (E)	Number Separated Before Completed (F)	Number Remaining Within Level (G)	Percentage Completing Level (H)
ABE Beginning Literacy							
ABE Beginning Basic Education							
ABE Intermediate Low							
ABE Intermediate High							
ASE Low							
ASE High*							
ESL Beginning Literacy							
ESL Low Beginning							
ESL High Beginning							
ESL Intermediate Low							
ESL Intermediate High							
ESL Advanced							
Total							

Include in this table only students who are both pre- and posttested.

Column D is the total number of learners who completed a level, including learners who left after completing and learners who remained enrolled and moved to one or more higher levels.

Column E represents a subset of Column D (Number Completed Level) and is learners who completed a level and enrolled in one or more higher levels.

Column F is students who left the program or received no services for 90 consecutive days and have no scheduled services.

Column D + F + G should equal the total in Column B.

Column G represents the number of learners still enrolled who are at the same education level as when they entered.

Each row total in column H is calculated by using the following formula: $H = \frac{ColumnD}{ColumnB}$

Work-based project learners are not included in this table.

* Completion of ASE high level is attainment of a secondary credential or passing GED tests.

OMB Number 1830-0027, Expires 10/31/08.

Table 5
Core Follow-Up Outcome Achievement

Core Follow-Up Outcome Measures	Number of Participants With Main or Secondary Goal	Number of Participants Included in Survey Sample	Number of Participants Responding to Survey or Used for Data Matching	Response Rate or Percent Available for Match	Number of Participants Achieving Outcome	Percent Achieving Outcome
(A)	(B)	(C)	(D)	(E)	(F)	(G)
Entered Employment*						
Retained Employment**						
Obtained a GED or Secondary School Diploma***						
Entered Postsecondary Education or Training****						

Instructions for Completing Table 5

* Report in Column B the number of participants who were unemployed at entry and who had a main or secondary goal of obtaining employment and who exited during the program year. Do not exclude students because of missing Social Security numbers or other missing data.

** Report in Column B: (1) the number of participants who were unemployed at entry and who had a main or secondary goal of employment **who exited in the first and second quarter** and who entered employment by the end of the first quarter after program exit and (2) the number of participants employed at entry who had a main or secondary goal of improved or retained employment who exited in the first and second quarter. *Exclude from this total all participants who exited in the third and fourth quarters of the program year, if survey method is used.*

*** Report in Column B the number of participants with a main or secondary goal of passing GED tests or obtaining a secondary school diploma or its recognized equivalent who exited during the program year.

**** Report in Column B the number of participants with a main or secondary goal of placement in postsecondary education or training who exited during the program year.

Table 5
Core Follow-Up Outcome Achievement *(continued)*

If survey is used, then the number in Column C should equal the number in Column B *unless random sampling was used.* If one or more local programs used random sampling, then enter in Column C the total number of students included in the survey. *If data matching is used*, then Column C should be left blank.

If survey is used, then the number in Column D should be less than Column C, unless there was a 100-percent response rate to the survey. *If data matching is used*, then the number reported in Column D should be the total number of records available for the data match. That number is normally less than the number in Column B. (If the numbers in these two columns are equal, then it means that all Social Security numbers are valid and that there are no missing Social Security numbers.)

Column $E = \dfrac{ColumnD}{ColumnB}$, *unless one or more programs used random sampling.* If random sampling was used, see Appendix C of the *NRS Survey Guidelines* for further instructions on reporting.

In Column F, the number should be equal to or less than the number in Column D.

Column G is the number in Column F divided by the number in Column D. Column G should never be greater than 100 percent. If the response rate is less than 50 percent (Column E), then the percent reported in Column G is not considered valid.

Table 6
Participant Status and Program Enrollment

Enter the number of participants for each of the categories listed.

Participant Status on Entry into the Program (A)	Number (B)
Disabled	
Employed	
Unemployed	
Not in the Labor Force	
On Public Assistance	
Living in Rural Area*	
Program Type	
In Family Literacy Program**	
In Workplace Literacy Program**	
In Program for the Homeless**	
In Program for Work-based Project Learners**	
Institutional Programs	
In Correctional Facility	
In Community Correctional Program	
In Other Institutional Setting	
Secondary Status Measures (Optional)	
Low Income	
Displaced Homemaker	
Single Parent	
Dislocated Worker	
Learning Disabled Adult	

* Rural areas are places with less than 2,500 inhabitants and located outside urbanized areas.

** Participants counted here must be in a program specifically designed for that purpose.

Table 7
Adult Education Personnel by
Function and Job Status

Enter an unduplicated count of personnel by function and job status.

Function (A)	Adult Education Personnel		Unpaid Volunteers (D)
	Total Number of Part-Time Personnel (B)	Total Number of Full-Time Personnel (C)	
State-Level Administrative/ Supervisory/Ancillary Services			
Local-Level Administrative/ Supervisory/Ancillary Services			
Local Teachers			
Local Counselors			
Local Paraprofessionals			

In Column B, count one time only each part-time employee of the program administered under the Adult Education State Plan who is being paid out of Federal, State, and/or local education funds.

In Column C, count one time only each full-time employee of the program administered under the Adult Education State Plan who is being paid out of Federal, State, and/or local education funds.

In Column D, report the number of volunteers (personnel who are not paid) who served in the program administered under the Adult Education State Plan.

OMB Number 1830-0027, Expires 10/31/08.

Table 8
Outcomes for Adults in Family Literacy Programs (Optional)

Enter the number of participants in family literacy programs for each of the categories listed.

Core Follow-Up Outcome Measures (A)	Number of Participants With Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent Available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Completed an Educational Functioning Level *						
Entered Employment						
Retained Employment						
Obtained a GED or Secondary School Diploma						
Entered Postsecondary Education or Training						
Increased Involvement in Children's Education						
Helped more frequently with school						
Increased contact with children's teachers						
More involved in children's school activities						
Increased Involvement in Children's Literacy Activities						
Reading to children						
Visiting library						
Purchasing books or magazines						

Table 8
Outcomes for Adults in Family Literacy Programs (Optional)
(continued)

* Report in Column B for this row all family literacy program participants who received 12 or more hours of service. Column F should include all participants reported in Column B who advanced one or more levels.

Compute Column G for this row using the following formula: $G = \dfrac{ColumnF}{ColumnB}$

Follow instructions for completing Table 5 to complete the remainder of this table. However, include only family literacy program participants in Table 8.

Achievement of one or more of the increased involvement in children's education or children's literacy activities measures should be counted only once per participant. However, the specific outcome should be recorded in the subcategory and more than one outcome may be reported, so that the total for the three subcategories may be greater than the total reported for the overall category. For example, a participant who helped more frequently with schoolwork and increased contact with child's teachers would be recorded in both categories but would be counted only once in the overall category of "increased involvement in children's education."

OMB Number 1830-0027, Expires 10/31/08.

Table 9
Outcomes for Adults in
Workplace Literacy Programs
(Optional)

Enter the number of participants in workplace literacy programs for each of the categories listed.

Core Follow-Up Outcome Measures (A)	Number of Participants With Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent Available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Completed an Educational Functioning Level*						
Entered Employment						
Retained Employment						
Obtained a GED or Secondary School Diploma						
Entered Postsecondary Education or Training						

* Report in Column B for this row all workplace literacy program participants who received 12 or more hours of service. Column F should include all participants reported in Column B who advanced one or more levels.

Compute Column G for this row using the following formula: $G = \dfrac{ColumnF}{ColumnB}$

Follow instructions for completing Table 5 to complete the remainder of this table. However, include only workplace literacy program participants in Table 9.

OMB Number 1830-0027, Expires 10/31/08.

Table 10
Outcomes for Adults in
Correctional Education Programs

Enter the number of participants in correctional education programs for each of the categories listed.

Core Follow-Up Outcome Measures (A)	Number of Participants With Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent Available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Completed an Educational Functioning Level*						
Entered Employment						
Retained Employment						
Obtained a GED or Secondary School Diploma						
Entered Postsecondary Education or Training						

* Report in Column B for this row all correctional educational program participants who received 12 or more hours of service. Column F should include all participants reported in Column B who advanced one or more levels.

Compute Column G for this row using the following formula: $G = \dfrac{ColumnF}{ColumnB}$

Follow instructions for completing Table 5 to complete the remainder of this table. However, include only correctional educational program participants in Table 10.

Table 11
Secondary Outcome Measures (Optional)

Enter the number of participants for each of the categories listed.

Secondary Outcome Measures (A)	Number of Participants With Main or Secondary Goal or Status (B)	Number of Participants Obtaining Outcome (C)	Percentage Achieving Outcome (D)
Achieved Work-Based Project Learning Goal			
Left Public Assistance			
Achieved Citizenship Skills			
Increased Involvement in Children's Education*			
Increased Involvement in Children's Literacy Activities*			
Voted or Registered To Vote			
Increased Involvement in Community Activities			

Each row total In Column D Is calculated using the following formula: $D = \dfrac{ColumnC}{ColumnB}$

* Enter the total number of participants who achieved this goal regardless of whether the participant was in a family literacy program. Use Table 8 to enter achievements of family literacy participants. The number reported here may be higher than reported in Table 8 because it includes all participants who achieved this goal.

OMB Number 1830-0027, Expires 10/31/08.

Table 12
Work-Based Project Learners by Age, Ethnicity, and Sex
(Optional)

Enter the number of work-based project learners by age*, ethnicity, and sex.

Age Group (A)	American Indian or Alaskan Native		Asian		Black or African-American		Hispanic or Latino		Native Hawaiian or Other Pacific Islander		White		Total
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	(N)
16–18													
19–24													
25–44													
45–59													
60 and older													
Total													

Only participants designated as work-based project learners should be included in this table. These participants should not be included in Tables 1-5. The total in Column N should equal the number of work-based project learners reported in Table 6.

* Participants should be classified based on their age at entry.

OMB Number 1830-0027, Expires 10/31/08.

Table 13
Core Follow-Up Outcome Achievement for
Prior Reporting Year and for Unintended Outcomes
(Optional)

For Column B, enter the number of participants for each of the outcome categories for outcomes not reported in the prior reporting period. For Column C, enter the number of participants achieving each outcome who did not have the outcome as a goal.

Core Followup Outcome Measures (A)	Number of Participants With Main or Secondary Goal Who Achieved Outcome but Were Not Reported in the Prior Reporting Period (B)	Number of Participants Achieving Outcome in Current YearWho Did Not Have the Outcome as a Goal (C)
Entered Employment		
Retained Employment		
Obtained a GED or secondary school diploma		
Placed in postsecondary education or training		

For Column B, report the number of participants who had the core outcome as a primary or secondary goal and who achieved that outcome according to the core outcome definitions (see Table 5) but were not reported in the prior program year.

For Column C, report the number of participants who achieved the outcome in the current reporting year but did not have the outcome as a main or secondary goal.

OMB Number 1830-0027, Expires 10/31/08.

Table 14
Local Grantees by Funding Source

Enter the number of each type of grantee (see attached definitions) directly funded by the state, and the amount of federal and state funding they receive.

Provider Agency (A)	Total Number of Providers (B)	Total Number of Sub-Recipients (C)	WIA Funding		State Funding	
			Total (D)	% of Total (E)	Total (F)	% of Total (G)
Local Education Agencies						
Public or Private Nonprofit Agency						
Community-Based Organizations						
Faith-Based Organizations						
Libraries						
Institutions of Higher Education						
Community, Junior, or Technical Colleges						
Four-Year Colleges or Universities						
Other Institutions of Higher Education						
Other Agencies						
Correctional Institutions						
Other Institutions (non-correctional)						
All Other Agencies						

1.   In Column (B), report the number of providers receiving a grant award or contract for instructional services from the eligible agency.
2.   In Column (C), report the total number of each entity receiving funds as a sub-recipient. *(Entities receiving funds from a grantee as part of a consortium are to be reported in column (C).)*
3.   In Column (E), the percentage is to be calculated using the following formula:

$$E = \frac{ColumnD}{ColumnD + ColumnF} .$$

4.   In Column (F), report total amount of state funds contributed. This amount need not necessarily equal the non-federal expenditure report on the Financial Status Report.
5.   In Column (G), the percentage is to be calculated using the following formula:

$$G = \frac{ColumnF}{ColumnD + ColumnF} .$$

OMB Number 1830-0027, Expires 10/31/08.

Division of Adult Education
Local Program Survey Report Form
Due November 1

After surveys have been conducted, report the findings on the following chart. This chart must be submitted with your annual report.

PROGRAM NAME _____ DATE _____

Outcome Measure	Total Eligible Students with Main or Secondary Goal	Percentage Achieving Outcome	Total Number of Students Responding
Entered Employment			
Retained Employment			
Receipt of Secondary Credential			
Entered Postsecondary Education or Training			

Due Dates
State Funded Adult Education Programs
Program Year July 1, 20___ - June 30, 20___

November 20___	February 20___	July 20___	Forms
November 1	**February 15**	**July 15**	
Final 20___ Annual Performance Reports for ABE and ASC	**Final Reports for Summer and Fall Terms**	**Final Reports for Spring Term**	Notification of Intent
	Forms:	Forms:	Administrative and Support Costs Final Report Form
Local Program 20___ Survey Report Form	1. Adult Education Final Report Form	1. Adult Education Final Report Form	
	2. Administrative & Support Costs Final Report Form	2. Administrative & Support Costs Final Report Form	Adult Education Final Report Form
	February 15	**July 31**	
	1. Mid-Year 20___ Annual Performance Report	Initial 20___ **Annual Performance Reports for ABE and ASC**	Submit Number of Copies Required
	February 15		
	Notification of Intent to Offer State Reimbursable Adult Education Programs		
	July 1 – June 30		
	Form:		
	Notification of Intent New Program Supplement (when applicable)		

- Programs using the i-Star program should send diskettes or transmit data on or before due dates for <u>activity during the reporting period.</u>
- Hardcopy reports are also required. These are available at <u>www.doe.state.in.us/adulted/welcome.html.</u>
- A request for extension of a reporting deadline must be received in writing <u>prior to the due date.</u> The Division of Adult Education reserves the right to withhold payments when reports are not submitted in a timely manner.

Due Date: February 15, 20__

Notification of Intent to Offer
State Reimbursable Adult Education Programs
July 1, 20___ - June 30, 20___

The _____
School Corporation

Located at _____
Street Address   City   Zip

intends to submit an authorization request to offer a state reimbursable adult education program as defined under IC20-10.1-7 and 511 IAC 11.1-8.

Type of program to be offered (check appropriate items):

Program		**Term**			
ABE/GED/ESL	_____	Summer/Fall	_____	Spring	_____
ASC	_____	Summer/Fall	_____	Spring	_____

The person(s) responsible for program administration:

Name _____   Name _____

Title _____   Title_____

Address _____   Address _____

City _____ Zip _____   City _____ Zip _____

Phone_____   Phone_____

Superintendent's Signature _____

Typed Name_____

Date _____

Revised 10/01/1999

Adult Education Final Report Form

Indiana Department of Education

Adult Education

Adult Education Final Report Form

Corporation Name:

Semester:

Date From/To:

(A)	(B)	(C)	(D)	Eligible Adults						(K)	(L)	(M)	(N)	(O)	(P)	(Q)	(R)
				Non-Graduates			Graduates										
				(E)	(F)	(G)	(H)	(I)	(J)								
Seq No	Course Code and Title	Total Instr Hours	Total In-Serv Hours	Regis-tered	Enroll	Ct Hrs (ABE)	Regis-tered	Enroll	Ct Hrs (ABE)	K-12 Regis-tered (ASC)	Non-Elig Grads (ASC)	Elg Ads Earning Credits (ASC)	Instructor, Social Security Number, or Last Name	Full/Part-Time	Credits NonSch Exper (ASC)	Credits Earned By Exam	Actual Cost (including Elig Fring Inserv)

Administrative and Support Cost Final Report Form

Corporation Code: _____ Corporation Name: _____

Term: Summer ☐ Fall ☐ Spring ☐ (Check One) Start Date: _____ End Date: _____

Functional Categories	Salaries		Eligible Fringe Benefits	Materials/ Supplies	Printing/ Postage	Travel (Local)	Equipment	Total
	Certified	Non-Certified						
01 Supervision								
02 Guidance Services								
03 Educational Media/ Library Services								
03 Classroom Instructional Support/Aides								
05 Clerical								
06 Public Information/ Recruitment								
07 Data Collection Processing & Reporting								
Total								

We certify that the above report accurately represents administrative and support costs for the Adult Education Program for the period indicated and this report does not include costs, which were supported by local school funds in the previous funding period unless approved under the conditions of a waiver granted by the State Board of Education on _____ (Date).

_____
Corporation Superintendent

_____
Authorized Fiscal Officer

_____
Program Director (ABE)

_____
Program Director (ASC)

Submit two (2) copies to:
Indiana Department of Education
Division of Adult Education
Room 229, State House
Indianapolis, IN 46204-2798

Revised: 10/01/1996

Due Dates
Federally Funded Comprehensive Programs
Program Year July 1, 20____ - June 30, 20____

October 20___	November 20___	January/February 20___	April 20___	July 20___	August 20___
October 15	**November 1**	**January 15**	**April 15**	**July 31**	**August 30**
1. ABE Quarterly Proration of Employee Time (1)	1. Final 20___ Annual Performance Report (ABE & ASC)	1. ABE Cumulative Quarterly Reports	1. Deadline for requesting modification of federal budget	1. ABE Cumulative Quarterly Reports	1. ABE Final Fiscal Report & Check for Unexpected Balance
2. Coordinating Council Minutes	2. i-Star 20___ Diskette/ Transmission	2. ABE Cumulative Quarterly Expenditure Report	2. ABE Cumulative Quarterly Reports	2. ABE Quarterly Proration of Employee Time	2. ABE Itemization of Local Expenditures
	3. Local Program 20___ Survey Report Form	3. ABE Quarterly Proration of Employee Time	3. ABE Cumulative Quarterly Expenditure Report	3. Coordinating Council Minutes	3. ABE Final Equipment Inventory (2)
		4. Coordinating Council Minutes	4. ABE Quarterly Proration of Employee Time	4. Initial 20___ Annual Performance Report (ABE & ASC)	4. ABE Institutionalized Adults Served Report
		5. i-Star 20___ Diskette/ Transmission	5. Coordinating Council Minutes	5. i-Star 20___ Diskette/ Transmission	
		February 15	6. i-Star Diskette/ Transmission		
		1. Mid-year 20___ Annual Performance Report			

- Programs that electronically transmit file should transmit on or before due dates outlined above for activity during the reporting period and mail hardcopy.
- A request for extension of a reporting deadline must be received in writing prior to the due date. The Division of Adult Education reserves the right to withhold payments when reports are not submitted in a timely manner.
- Refer to Policy on "Deadlines for All Reports and Budget Modifications."
- Transfer i-Star report electronically/mail diskette with 1 copy of each paper report to the program consultant assigned to your program at:
  Division of Adult Education
  Indiana Department of Education
  Room 229, State House
  Indianapolis, IN 46204-2798

(1) Form required only for those program employees for whom a portion of their salary is paid from adult education federal funds.
(2) Refer to Policy on "Identification of Equipment Purchased for the Local Adult Education Program/Federal Programs."

Adult Education Federally Funded Programs Cover Sheet
for
Quarterly/Final Reports

QUARTER: 1st _____ Due October 15   *Send to:* Division of Adult Education
2nd _____ Due January 15   Indiana Department of Education
3rd _____ Due April 15   Room 229, State House
4th _____ Due July 31   Indianapolis, IN 46204

Program:_____

D.O.E. Program Consultant:_____   Date: _____

---

i-STAR Diskette: Enclosed_____ /Electronically Transmitted (date)_____

	Report (1 paper copy each)	Yes	No	NA
Quarterly	ABE Cumulative Quarterly- i-Star (2nd, 3rd, 4th quarter only)	_____	_____	_____
	ABE Cumulative Quarterly Expenditure & Statement of Balance (2nd & 3rd quarter only)	_____	_____	_____
	Coordinating Council Minutes	_____	_____	_____
Due 7/31	*Initial* Annual Performance Report- i-Star	_____	_____	_____
Due 8/30	ABE Final Fiscal Report	_____	_____	_____
	ABE Itemization of Local Expenditures	_____	_____	_____
	ABE Final Equipment Inventory	_____	_____	_____
	ABE Institutionalized Adults Served	_____	_____	_____
Due 11/1	*Final* Annual Performance Report i-STAR	_____	_____	_____

Revised 03/20/2003

Federally Funded Adult Education Program
Cumulative Quarterly Report

Corporation Name: _____   Program Number: _____

Quarter Ending 12/31___3/31___6/30___	Quarter 1 7/1 to 9/30		Quarter 2 10/1 to 12/31		Cumulative Total	Quarter 3 1/1 to 3/31		Cumulative Total	Quarter 4 4/1 to 6/30		Annual Total

PART 1. ENROLLED STUDENT CONTACT HOURS (For students registered and enrolled in different quarters, enter their year-to-date contact hours here in quarter of enrollment.)

1. ABE A. Beginning Literacy		+		=			+		=		+		=	
B. Beginning Basic Education		+		=			+		=		+		=	
C. Intermediate Low		+		=			+		=		+		=	
D. Intermediate High		+		=			+		=		+		=	
E. ASE/GED Low		+		=			+		=		+		=	
F. ASE/GED High		+		=			+		=		+		=	
2. ESL A. Beginning Literacy		+		=			+		=		+		=	
B. Low Beginning		+		=			+		=		+		=	
C. High Beginning		+		=			+		=		+		=	
D. Intermediate Low		+		=			+		=		+		=	
E. Intermediate High		+		=			+		=		+		=	
F. Advanced		+		=			+		=		+		=	
3. Total contact hours in all levels		+		=			+		=		+		=	

PART 2. STUDENT ENROLLMENT DATA (For 2nd, 3rd, & 4th quarters, only report here newly registered and enrolled students. #4 through #8 = #2)

1. # students newly registered		+		=			+		=		+		=	
2. # students newly enrolled		+		=			+		=		+		=	
3. Proportion who enroll (#2/#1)												*
4. Number of ABE Beginning Literacy students enrolled		+		=			+		=		+		=	
5. Number of ABE Beginning Basic Ed. students enrolled		+		=			+		=		+		=	
6. Number of ABE Intermediate Low/High students enrolled		+		=			+		=		+		=	
7. Number of ASE/GED Low/High students enrolled		+		=			+		=		+		=	
8. Total number of all levels of ESL students enrolled		+		=			+		=		+		=	

PART 3. AVERAGE CONTACT HOURS

Part 1, #3 divided by Part 2, #2											

Submit original and one copy of report on 1/15, 4/15 and 7/31.

*Data check: Annual total for PART 2, #2 should equal the total enrollment reported on the Annual Performance Report –Table 1, Column N.

Budget
Adult Education and Family Literacy Act
CFDA 84.002A

___ Quarterly Report　　___ Final Fiscal Report

___ 2nd Feb.15th　___ 3rd April 15th　___ 1. Budget Modification

___ Budget Addendum　___ 2. Budget Modification
(for perf. and incentive money)

Name and Address of Agency:

Program Number
FY 20___ -

LEA CODE (School Corporation):

Comprehensive _____　EL/Civics_____
Outreach _____

Report Period (Month, Day, Year)
From: 7/1/20_____　To: 6/30/20_____

Account Numbers	Functional Categories	110 Salaries Certified	120 Salaries Non-Certified	300 Purchased Services	332 Travel	410 Supplies	540 Equipment	670 Other Expenses	690 Technology	Totals
10000	**Instruction**									
21200	**Guidance Services** (intake, follow-up, counseling, etc.)									
22100	**Improvement of Instruction** (in-service, training, etc.)									
13900	**Administration**									
25400	**Operation & Maintenance**									
26200	**Planning & Evaluation** (data entry, curriculum, development, etc.)									
26490	**Staff Service** (employee benefits)									
39500	**Child Care Services**									
	Indirect Costs									
a	Total Request for **FEDERAL** Funds									
b	Estimate of **LOCAL** Expenditures									

Director's Signature _____　Approved by _____

Date _____　Date _____

Adult Basic Education
Cumulative Statement of Quarterly Balance

____ 2nd Quarter
____ 3rd Quarter

Effective: 04/01/2005

Name and Address of Agency:		Program Number: FY / LEA Code (School Corporation):	Reporting Period (Month, Day, Year) From:
1. Amount of grant award:	$	5. Unencumbered monies on hand at the end of the quarter (add lines 3 and 4; subtract sum from line 2):	$
2. Total federal monies received through this quarter:	$	6. Balance of grant due (subtract line 2 from line 1):	$
3. Total federal monies spent through this quarter:	$	7. Total amount released back to state:	$
4. Estimate of federal monies encumbered through the end of quarter:	$	8. Revised Balance of grant due (subtract line 7 from line 6):	$

Director's Signature: _____

Typed Name: _____

Date Signed: _____

Authorized Fiscal Officer Signature: _____

Typed Name: _____

Official Title: _____

Date Signed: _____

Adult Basic Education Final Statement of Expenditures *(only for final fiscal report)*
for the Program Year Ending June 30, 20____

Program # _____ LEA Code: _____ Legal Name of Agency: _____

1. Statement of unexpended balance of Federal Funds for the period from July 1, _____ to June 30, _____ after all encumbrances have cleared

   A. Total federal funds received　　　　　　　　　　　　　　$ _____

   B. Total federal funds expended (Figure must correspond with total federal expenditures reported on line "A" on the budget grid.)　$ _____

   C. Amount returned to the state (Subtract amount on line "B" from line "A.") (Enclose check for that amount with this report.)　$ _____

2. Report of Local expenditures

   A. Total local expenditures for the **current** fiscal year (Attach itemization.)　$ _____

   B. Local expenditures reported for the **previous** fiscal year　$ _____

I certify that to the best of my knowledge, the above report accurately reflects fiscal transactions of this programs for the period indicated.

Director Signature _____

Subscribed and sworn to in my presence on the _____ day

Typed Name _____

of _____ , 20 _____ .

Authorized Fiscal Office Signature _____

NOTARY PUBLIC

of the county of _____ , and the State

Typed Name _____

of _____ .

Title _____

Effective: 04/01/2005

Quarterly Proration of Employee Time
in
Adult Education

This form must be completed and submitted quarterly by all adult basic and secondary education personnel when a portion of their salary is paid by federal or local matching funds, and their time is shared with other programs. A part-time person paid entirely by federal funds is not required to complete the form. Written documentation of time reported must be maintained.

Agency _____

Employee Name _____

Position _____

I, _____ , have worked (how many) _____ hours

in the adult education program during the quarterly period from

_____ to _____ . This represents

$_____ or _____ % of my salary which is paid from federal

or local matching funds

_____　　　　_____
Employee Signature　　　　　　　　　　　　　　Date

_____　　　　_____
Program Director Signature　　　　　　　　　　　Date

Revised 10/01/1996

Adult Basic Education Itemization of Local Expenditures
(Attachment to Final Fiscal Report)

For the Program Period Ending June 30, 20____

Program Number FY_____   Agency _____

List *all non-reimbursable expenditures* made by the grantee agency for *both the Adult Basic (ABE) and Adult Secondary Credit (ASC) programs.* Include the percentage for prorated costs.

ITEM	PRORATED PERCENTAGE	COST

Attach additional pages if needed   **Grand Total $_____**

Revised 10/01/1999

Adult Basic Education Itemization of Local Expenditures
(Attachment to Final Fiscal Report) *(continued)*

ITEM	PRORATED PERCENTAGE	COST

Federal Adult Education Program
Equipment Inventory

Agency: _____　　Program/Project Number: _____　　Date Submitted: _____

Date Purchased	Item	Manufacturer, Make, Serial Number	Purchased From	Location	Cost	Label Number

Inventory all items of equipment initially costing $300.00 or more, which are purchased with federal or local matching funds for adult education programs. Each item must be labeled for identification purposes. Submit one copy by August 30 for any year (July 1 – June 30) in which equipment was purchased or relocated or to report changes in operational condition.

Effective: 07/012001

Adult Education Federal Expenditure Report
for
Institutionalized Adults Served

Programs that provide separate classes for adult inmates, patients, or residents of a correctional, health, or other special institution are required to report federal expenditures associated with those classes. Report actual costs in the areas of personnel, instructional materials, and operation and maintenance where they can be determined. If actual costs are not readily identifiable, or cannot be documented, the total federal expenditures should be prorated, based upon the percentage of institutionalized adults enrolled.

Agency _____

Program Number FY- _____

Program Year: July 1, 20_____ to June 30, 20____

Federal Funds Expended for Institutionalized Adults　　　　　　　　$ _____

　　　　　Check One: _____ Actual　　　_____Proration

　　　　　Program Administrator's Signature　　　_____

　　　　　　　　　　　　　　　Typed Name　　　_____

　　　　　　　　　　　　　　　　　　Date　　　_____

Revised 06/01/2000

Ruth Huffman-Hine, Ph. D., Retired, MSD Wayne Township
John R. Craddock Award Recipient 2004

Accept the challenges, so that you may feel the exhilaration of victory.

-- General George S. Patton

Demonstrating...Program Performance

Demonstrating…Program Performance

National Reporting System *(NRS)* Definitions
(Student Follow-Up – Gains/Achievements)

Core Measures – Educational Gains

- ### Core Measure #1: Educational gains

Definition: Learner completes or advances one or more educational functioning levels from his/her starting level, which was based on TABE or CASAS pretest scores at entry into the class or number of credits for ASC students.

Population: All learners

Collection: At entry, all learners are given either the Tests of Adult Basic Education (TABE) or Comprehensive Adult Student Assessment System (CASAS) test. The program does not need to assess the learner in all areas, but must assess in the areas in which instruction will be given. The lowest functioning level should be used when determining initial placement. For example, a student may come in at a 7th grade math level (High Intermediate), and a 9th grade reading and writing level (Low Adult Secondary Education). That student will be initially placed in the High Intermediate level, because that was his lowest functioning level, although instruction will take place at the appropriate level for each subject. To determine gain, the learner should be reassessed with the same assessment instrument, but different form, again after 30 to 50 instructional hours. For example, a pretest may be given in TABE level D form 7; thus the posttest given would be TABE level D form 8. *A learner must advance one or more levels in his lowest functioning level in order to be considered as having met this outcome.*

Educational Functioning Leve	TABE Grade Level	TABE Scale Score	CASAS Score
ABE Beginning Literacy	0 – 1.9	367 or less	200 and below
ABE Beginning Basic Education	2 – 3.9	368 - 460	201 - 210
ABE Intermediate Low	4 – 5.9	461 - 517	211 - 220
ABE Intermediate High	6 – 8.9	518 - 566	221 - 235
ESL Beginning Literacy	0 – 0.9		180 and below
ESL Beginning Low	1 –…		181 - 190
ESL Beginning High	…– 1.9		191 - 200
ESL Intermediate Low	2 – 3.9		201 - 210
ESL Intermediate High	4 – 5.9		211 - 220
ESL Advanced	6 – 8.9		221 - 235
ASE Low (ASC & GED)	9 – 10.9	567 - 595	236 - 245
ASE High (ASC & GED)	11 – 12.9	596 and above	246 and above

Note: Scores are based on reading test only.

Posttesting is essential to capturing outcomes in this performance measure. Once a student leaves class, there is no way to measure whether this goal has been achieved.

Revised: 07/01/06

NRS Definitions *(continued)*
(Student Follow-Up – Gains/Achievements)

Core Measures – Follow Up

- **Core Measure #2: Entered Employment**

<u>Definition</u>: Learner gets a job before the end of the first quarter after the program exit quarter.

<u>Population</u>: Learners who are not employed at the time of entry into the program and who have a main or secondary goal of obtaining employment.

<u>Collection</u>: *Employment* is defined as working in a paid, unsubsidized job or working 15 hours or more per week in an unpaid job on a farm or business operated by a family member or the student. *Exit quarter* is the quarter when the learner completes instruction or has not received instruction for 90 days and has no instruction scheduled. Note that this goal can be achieved while the student is attending class, but will not be counted as an outcome until the learner exits. At the time of achievement, the program staff would record the information and pass it along to the data entry personnel; or it may be achieved after the student leaves the program, in which case the information would be gathered by phone or follow-up survey. This outcome will only be counted after exit.

- **Core Measure #3: Retained Employment**

<u>Definition</u>: Learner remains employed in the third quarter after exit quarter.

<u>Population</u>: Learners who, at time of entry, are not employed and have a main or secondary goal of obtaining employment and who entered employment by the first quarter after exit quarter or learners who are employed at entry and have a primary or secondary goal of improved or retained employment

<u>Collection</u>: This data is collected by phone or local follow-up survey in the third quarter after the student exits.

- **Core Measure #4: Receipt of a Secondary School Diploma or GED**

<u>Definition</u>: Learner obtains a diploma by passing the GED tests or through adult secondary credit.

<u>Population</u>: All learners with a main or secondary goal of passing the GED tests or obtaining a secondary school diploma or its recognized equivalent.

<u>Collection</u>: This data may be collected at the time of exit or after by instructional staff or by phone or local follow-up survey any time before the final program reports are due to the state on November 1. An exit date and the date of attainment are required for entry into the computerized record keeping system.

NRS Definitions *(continued)*
(Student Follow-Up – Gains/Achievements)

Core Measures – Follow Up *(continued)*

- **Core Measure #5: Placement in Postsecondary Education or Training**

<u>Definition</u>: Learner enrolls in a postsecondary educational or occupational skills training program that does not duplicate other services or training received, regardless of whether the prior services or training were completed.

<u>Population</u>: Learners with a goal of placement in postsecondary education/training.

<u>Collection</u>: Following exit from the program, information on enrollment into training or postsecondary educational program is obtained through local follow-up survey or information from other education/training agencies, such as job training programs, colleges, etc. This data may be collected after the student exits, any time during the program year, or before the final program report is due to the state on November 1.

NRS Definitions *(continued)*
(Student Follow-Up – Gains/Achievements)

Secondary Outcome Measures

- **Completed a Work-Based Project**

<u>Definition</u>: Learner acquires the skills taught in a short-term learning course designed to teach specific work-based skills. A short-term course is an instructional program of at least 12 hours but no more than 30 hours duration.

<u>Population</u>: Learners enrolled in a short-term course and designated at entry as work-based project learners.

<u>Collection</u>: The instruction must be designed to teach work-based skills and must specify the educational outcomes and standards for achievement. The final assessment of skill achievement must be a standardized test or a performance-based assessment with standardized scoring rubrics. The data would be gathered in class through this posttesting and then conveyed to data entry personnel.

- **Reduction in Receipt of Public Assistance**

<u>Definition</u>: Learner's Temporary Assistance to Needy Families (TANF) grant or food stamps is reduced or eliminated due to employment or increased income.

<u>Population</u>: Learners who are receiving TANF or food stamps at the time of enrollment.

<u>Collection</u>: Information on reduction or elimination of assistance is recorded by local instructional staff, local follow-up survey, or data matching with social services.

- **Achieved Citizenship Skills**

<u>Definition</u>: Learner attains the skills needed to pass the U.S. citizenship exam.

<u>Population</u>: All learners with a goal of obtaining citizenship skills

<u>Collection</u>: This data is assessed and recorded by program staff and conveyed to data entry personnel.

NRS Definitions *(continued)*
(Student Follow-Up – Gains/Achievements)

Secondary Outcome Measures *(continued)*

- ### Registered to Vote or Voted for the First Time

<u>Definition</u>: Learner registers to vote or votes for the first time any time during the program year.

<u>Population</u>: All learners who are not registered to vote or who have never voted.

<u>Collection</u>: Local program survey or program staff may gather this data.

- ### Increased Involvement in Community Activities

<u>Definition</u>: Learner increases involvement in the following community activities: attending or organizing meetings of neighborhood, community, or political organizations; volunteering to work for such organizations; contributing to the support of such organizations; and volunteering to work on community improvement activities.

<u>Population</u>: All learners.

<u>Collection</u>: Local program survey.

- ### Increased Involvement in Children's Education

<u>Definition</u>: Learner increases involvement in the education of dependent children under his or her care, including:

> Helping children more frequently with their school work

> Increased contact with children's teachers to discuss children's education

> More involvement in children's school, such as attending school activities, parent meetings, and volunteering to work on school projects

<u>Population</u>: All learners who have dependent children.

<u>Collection</u>: Local program survey and/or data gathered while student was enrolled.

NRS Definitions *(continued)*
(Student Follow-Up – Gains/Achievements)

Secondary Outcome Measures *(continued)*

- **Increased Involvement in Children's Literacy Related Activities**

<u>Definition</u>: Learner increases involvement in the literacy related activities of dependent children under his or her care, including:

> Reading to children

> Increased contact with children's teachers to discuss children's education

> Purchasing books or magazines for children

<u>Population</u>:   All learners who have dependent children.

<u>Collection</u>: Information is recorded through local program survey or data gathered while the student was enrolled.

Impact of Achievements on Local Programs

All performance information is gathered from class reports and the follow-up survey, entered into a computerized record keeping system, and reported to the state in the Annual Performance Report. The total number of learners who set an outcome measure as a goal is compared with the total number achieving the goal and the percentage of achievement is noted. **Note that only learners who set an outcome measure as a goal can achieve that goal.** For example, a learner may enter class and set only one goal – to improve basic skills (complete an educational functioning level). If that same student gets a job and registers to vote, the only achievement recorded for that student is whether he/she completed the educational functioning level. The other two do not count because they were not set as goals while the learner attended the program. In the same way, a learner who sets several goals and achieves only one (or none) affects the program report in a negative way by lowering the percentage of achievement. Thus it is very important that program staff understand how to assist students in setting achievable goals.

Each comprehensive adult education program in Indiana is required to set performance standards each year. For each core outcome measure, the program must predict the percentage of achievement by students who have set this measure as a goal. It is as important for instructional staff to be aware of their program's performance measures as it is for program administrators to be aware of individual class performance on the outcome measures. Each program will be awarded performance and incentive money in the fall of the year based upon the achievements reported on the annual performance report.

This is an excellent opportunity for programs to be rewarded for the good work that takes place with learners. However, goals must be set realistically with students, data must be conveyed to data entry personnel, and progress toward performance measure achievement must be communicated to staff on a regular basis.

Goals/Outcomes Flow Chart
APR Table 5 Measures
Core Measures

	Enters Employment	Meets Goal	Exits Program	Included in Table 5
Student A	X	X	X	X
Student B	X		X	X
Student C	X	X		
Student D	X			
Student E		X	X	
Student F		X		

	Retains Employment	Meets Goal	Exits Program	Included in Table 5
Student A	X	X	X	X
Student B	X		X	X
Student C	X	X		
Student D	X			
Student E		X	X	
Student F		X		

	GED/Diploma Goal	Meets Goal	Exits Program	Included in Table 5
Student A	X	X	X	X
Student B	X		X	X
Student C	X	X		
Student D	X			
Student E		X	X	
Student F		X		

	Postsecondary Goal	Meets Goal	Exits Program	Included in Table 5
Student A	X	X	X	X
Student B	X		X	X
Student C	X	X		
Student D	X			
Student E		X	X	
Student F		X		

Adult Education Performance Measures
(FY 2006-2007)

Educational Functioning Level	2004-2005 Performance	2004-2005 National Performance (Average)	2005-2006 Target	2006-2007 Target
Beginning ABE Literacy (0-1.9)	38%	42%	32%	40%
Beginning ABE (2-3.9)	46%	40%	46%	47%
Low Intermediate ABE (4-5.9)	50%	40%	47%	51%
High Intermediate ABE (6-8.9)	49%	37%	46%	50%
Low ASE (9-10.9)	43%	44%	43%	45%
Beginning ESL Literacy (0-.9)	45%	37%	38%	46%
Beginning ESL(1-1.9)	44%	36%	41%	
Low Beginning ESL				45%
High Beginning ESL				45%
Low Intermediate ESL (2-3.9)	49%	43%	44%	50%
High Intermediate ESL (4-5.9)	51%	40%	44%	52%
Advanced ESL (6-8.9)	43%	26%	41%	44%
Entered Employment*	77%	37%	82%	80%
Retained Employment*	99%	64%	82%	84%
GED or HS Diploma*	80%	51%	80%	82%
Entered Postsecondary Education*	95%	34%	80%	82%

*Weighted Average

Educational gain in adult education is measured by a set of educational functioning levels in which students are initially placed based on their ability to perform literacy-related tasks in specific content areas. The ABE/ASE and ESL levels describe the skills in basic reading and writing, numeracy, and functional workplace skills that a person functioning at that level could be expected to perform. One of the ESL levels has been divided into two new levels.

Standardized assessment is used to determine initial placement and educational gain. States must also collect and set performance standards for four measures (entering and retaining employment, high school completion, and further education). Results are collected by follow-up survey. Actual Indiana results for 2004-2005 are entered employment (61%); retained employment (75%); GED or high school diploma (63%); and entered postsecondary education (74%).

Year-to-Date Achievement of Performance Measures

Educational Functioning Level	Program Goals To Be Met	Achievement Year-To-Date
		Number / **Percent**
ABE Beginning Literacy		
ABE Beginning Basic Education		
ABE Intermediate Low		
ABE Intermediate High		
ASE Low (ASC & GED)		
ASE High (ASC & GED)		
ESL Beginning Literacy		
ESL Low Beginning		
ESL High Beginning		
ESL Intermediate Low		
ESL Intermediate High		
ESL Advanced		
Entered Unsubsidized Employment		
Retained Employment		
Obtained High School Diploma or GED		
Placed in Postsecondary Education or Training		

Secondary Outcome Measures	Achievement Year-To-Date
	Number / **Percent**
Achieved Work-Based Project Goal	
Left Public Assistance	
Achieved Citizenship Skills	
Voted or Registered to Vote	
Increased Involvement in Community Activities	
Increased Involvement in Children's Education	
Increased Involvement in Children's Literacy Activities	

Optional Document: Provided as an example for gathering/monitoring information or data.

Revised 07/01/06

Achievement Data

Student Name: _____

Please mark the number of times you participated in the following activities each week.

Activity	Week Ending (Date)															
Increased Involvement in Community Activities																
Attended/organized meetings of neighborhood, community, or political organizations																
Volunteered for such organizations																
Contributed to such organizations																
Volunteered for community improvement activities																
Increased Involvement in Children's Education																
Helped with school work																
Had contact with children's teachers																
Attended school activity																
Volunteered to work on school project																
Increased Involvement in Children's Literacy																
Read to children																
Visited a library																
Purchased books or magazines																

Learner Exit Follow-Up

For each student exited from the program, fill in the information below (PLEASE PRINT):

Program Year Attended: _____ Date Exited: _____/_____/_____ Site: _____

First Name: _____ Middle Initial: _____ Last Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: (_____) _____-_____   Social Security No: _____/_____/_____

(The Social Security number is voluntary.)

Check goals and achievements set but <u>not</u> met:

- ❏ Improved basic skills
- ❏ Entered employment
- ❏ Retained employment
- ❏ Obtained a high school or GED diploma
- ❏ Placed in postsecondary education or job training
- ❏ Achieved work-based project goal (for work-based project learners)
- ❏ Left public assistance
- ❏ Achieved citizenship skills
- ❏ Increased involvement in children's education
- ❏ Increased involvement in children's literacy activities
- ❏ Voted or registered to vote for the first time
- ❏ Increased involvement in community activities

Comments: _____

_____

_____

Change of Address Information for Student and/or Alternate Contact: (Circle One)

Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: (_____) _____-_____

Name: _____ Relationship to Student: _____

Optional Document: Provided as an example for gathering/monitoring information or data.

Analyzing Quarterly Report Data

This document is designed to help you analyze your program data.
It is best utilized when you have a copy of your completed reports available.

Quarterly Reports *(See Sample Cumulative Quarterly Report Form on Page #115)*

Number Registered (Part 2, Row 1) **and Number Enrolled** (Part 2, Row 2)

- Do these numbers look correct?

- Is all data being entered in the software or counted on the report?

- Compare the data to last year's report.

- Compare the data to last quarter's report.

- What kind of trends do you see?

Retention Rate (Part 2, Row 3)

- How does this data compare to last year's retention rate?

- How does this data compare to last quarter's retention rate?

- Is the program improving?

Average Number of Contact Hours Per Student Program Wide (Part 3, Row 1)

- How does this data compare to state benchmarks?

Analyzing Annual Performance (APR) Report Data

> *This document is designed to help you analyze your program data.*
> *It is best utilized when you have a copy of your completed reports available.*

Analyzing Annual Performance Report (APR) Data *(See Sample APR Form on Pages #90-107)*

Table 1 – Participants by Entering Educational Functioning Level, Ethnicity, and Sex

- Is the program serving all levels?
   (Are we missing some people who need to be served or is there no need for this in the community?)
      If not, why?

- Are enrollments increasing or declining?
   (Compare total number served to previous years.)
      Why?

Table 2 – Participants by Age, Ethnicity, and Sex

Identify the groups you serve. (Young Learners? Hispanic Learners? Etc.)

- How does this compare to the demographics of your community?

- Are you satisfied that your program is addressing the community's needs?

- Are you and your staff well prepared to meet the needs of those who are attending?

- Would professional development, volunteers, community collaborations, and/or additional funding from outside grant sources help the program better serve students and community?

Table 3 – Participants by Program Type and Age

- Are you serving mainly ABE students?

- Are you serving mainly ESL students?

- Are you serving mainly ASE students?

- What age groups are attending each of these?

- What does this tell you about professional development?

- What does this tell you about professional curriculum?

- What does this tell you about professional recruitment efforts?

Analyzing APR Data *(continued)*

Table 4 – Educational Gains and Attendance by Educational Functioning Level

- Are students achieving a level gain?

- What percent achieved gain for the total program? (Total – Column H)

- Has the program met its performance measures?

- Is it obvious that one group, such as ESL or Beginning Literacy students, is not achieving a level gain?
     Why?
          (Does this indicate a need for professional development in a particular area or for a group of staff members?)

- How does this data compare to state benchmarks?

- Are students staying long enough in each level to make progress?
     (Divide the number of students into the number of contact hours in each educational functioning level.)
          If not, why?
               (Curriculum? Location? Support services lacking? Need for Staff Professional Development?)

Table 4B – Educational Gains and Attendance for Pre- and Posttested Participants

Compare the totals in Column B (Total Number Enrolled Pre- and Posttested) and Column C (Total Attendance Hours) in each educational functioning level with the corresponding levels and columns on Table 4.

- What percent of students are being posttested in each level?
     (Divide total in Table 4B, Column B by the total in the corresponding level on Table 4, Column B.)

- Are students in one or more educational functioning levels significantly less likely to be posttested?
     If so, why?

- On average, how many hours have non-posttested students attended?
     (Subtract Table 4B, Columns B & C from the corresponding level and column on Table 4.
     Divide the resulting number in Column C by the resulting number in Column B to determine the average contact hours for students that did not posttest.)

- Compare the number of students that did not posttest to the number in Column G
     (Number Remaining Within Level)
          Might these students still be posttested?

Analyzing APR Data *(continued)*

Table 4B – *(continued)*

- Analyze the following factors:
  Are students staying in the program long enough to be posttested?
     (Retention)
  Are students being posttested when they accumulate enough hours to posttest?
     (Staff training/record keeping)
  Are students being posttested, but not making level gains?
     (Instruction/curriculum)
  Are students taking the posttest and making level gains, but not appearing on Table 4B?
     (Record keeping/data entry)

Table 5 – Core Follow-Up Outcome Achievement

- Has your program met its performance standards?

- Do you believe the report accurately reflects outcomes or should you make adjustments to the follow-up system in your program?

- How does this data compare to state benchmarks?

- Analyze this information to determine whether goal setting is appropriate in your program.
     (Compare the number of unemployed on Table 6 with the number setting the goal to enter employment.)
     (Compare the number setting the goal of a diploma or GED with the number of students in High
      Intermediate, Low ASE, and High ASE levels.)
     (Compare the number setting a goal of postsecondary education with the number of students gaining a
      diploma or GED.)
     Are these numbers comparable or reasonable or is there a need for staff development to clarify appropriate goal setting?

Table 6 – Participant Status and Program Enrollment

Analyze this information to help you determine the needs of students.

- Are a large percentage of students unemployed?
  (They may benefit from employability skills embedded in/applied to academic skills instruction.)

- Are a significant percentage of students low income or on public assistance?
  (Students may be interested in budgeting information.)

- Does your program serve many single parents?
  (They may benefit from parenting, health, and legal services information.)

Note: The total number of unemployed, employed, and not in the labor force should equal the total number of students served.

Analyzing APR Data *(continued)*

Table 7 – Adult Education Personnel by Function and Job Status

Review for accuracy.

Table 8 –   Outcomes for Adults in Family Literacy Programs   [Optional]

Compare performance to program as a whole and the performance measures.

- Is performance equal to or better than total program performance?
- Is there a need for professional development or support services for this population?

Table 9 –   Outcomes for Adults in Workplace Literacy Programs   [Optional]

Compare performance to program as a whole and the performance measures.

- Is performance equal to or better than total program performance?
- Is there a need for professional development or support services for this population?

Table 10 – Outcomes for Adults in Correctional Education Programs

Compare performance to program as a whole and the performance measures.

- Is performance equal to or better than total program performance?
- Is there a need for professional development or support services for this population?

Table 11 – Secondary Outcome Measures   [Optional]

These goals are often important to community stakeholders.

- Are students achieving secondary outcomes?
     If not, is it because staff is not following up on these?
- Does staff encourage students to set these goals, if appropriate?
- Does staff need assistance knowing how to help students achieve any of these secondary goals?

Analyzing APR Data *(continued)*

Table 12 – Work-Based Project Learners by Age, Ethnicity, and Sex   [Optional]

Review for accuracy.

Table 13 – Core Follow-Up Outcome Achievement for Prior Reporting Year and for Unintended Outcomes   [Optional]

Column B contains core outcomes that were attained but not reported in the previous year's program reports. The core goal most reported here will be the Retained Employment goal. Analyze causes for the other three goals reported here.

- Was follow-up timely and according to NRS guidelines?

- Were survey results reported to data entry in a timely manner?

- Column C reports goals that were met but never set by students.
     Analyze this data and discuss this with staff.

- Are outcomes lost because goals are not being set with students?
     Goal setting and monitoring is very important for students and programs.

Table 14 – Local Grantees by Funding Source   [This is a new table for PY 2006.]

Check information for accuracy.

- Report the type of agency that appropriately describes your program.
     Note: Programs with a sub-contractor will list that information in Column C.

- Report the amount of federal (WIA) and/or state funding your program received during the program year through the Indiana Department of Education, Division of Adult Education and the percent of total funds represented by each.

Analyzing Adult Education Final Report Data

> *This document is designed to help you analyze your program data.*
> *It is best utilized when you have a copy of your completed reports available.*

After you have checked the Adult Education Final Report Form (*sample form on page #111*) for accuracy and submitted it to your state consultant, examine the report for information that may help you improve your program. Following are some ways you may look at the report information and gather information that will help you make administrative decisions in the future.

Units of instruction completed by each INSTRUCTOR

- Does this instructor generally retain students well?

    Visit the class to see what is happening.
    Consider <u>this</u> instructor as a <u>mentor</u> for new or under-achieving instructors.
    Evaluate why students are staying.
    Identify the type of instructional strategies employed.
    Observe relationships developed among students and/or with the teacher.

- Does this instructor generally NOT retain students well?

    Visit the class to see what is happening.
    Call former students to see if you can identify a problem.
    Consider different placement (team teaching or a different type of class).
    Consider teacher's strengths (ESL, YAL, etc.).
    Consider paperwork (submitted regularly and accurately).
    Consider **professional development** (instructional techniques, retention strategies, etc.).
    Consider **intake/orientation procedure** (registration, testing, clarity, etc.).

Units of instruction by TIME OF DAY offered

- How many students register and enroll in morning, afternoon, and evening classes?

- Evaluate the need for poor performing class times.

Units of instruction by TIME OF YEAR offered

- Is there a time when registrations and enrollments are higher or lower?

    Why?

        Can anything be done about it?

- Would your **advertising** dollars be wasted during summer or Christmas or are those the best times to recruit new students?

Analyzing Adult Education Final Report Data *(continued)*

Units of instruction by TIME OF YEAR offered *(continued)*

- Do students leave in the summer because their children are home and they can't afford childcare?

    Can you offer childcare during those times?

    Can you partner with another agency (or the parks department) that offers childcare or summer activities during class time so your students can attend?

    - Could you lengthen units of instruction during slow times in order to ensure the 10 eligible enrolled in each unit?

    - Could you shorten units during times of traditionally high enrollment in order to maximize the number of enrollments for which your program will be reimbursed?

Units of instruction by CLASS SITE

- Which class sites consistently get good enrollments?

    Why?

    Do they offer **support services** that students need, like transportation or childcare?

    Is it convenient for students who don't have transportation?

    Are students mandated to register and then attendance monitored?

- Is there a class site that generally has low enrollment?

    Why? (If there are few registrations, this may be a **recruitment** problem.)

    What could you do to advertise the class?

    What agencies could refer students here?

    Have you met with referral agencies to tell them about your services at this site?

    What schools would benefit?

    Can they help advertise, i.e., by putting an article in the school newspaper?

Analyzing Adult Education Final Report Data *(continued)*

Units of instruction by CLASS SITE *(continued)*

If students are registering, but not staying, are they mandated to register but not held accountable to stay in class?

If so, have a talk with the **referring agency**.

If their purpose is to help students achieve employment and/or parenting skills, work together to ensure students stay in class long enough to achieve that goal.

Set up an attendance monitoring system that is easy for both agencies and yet keeps students accountable.

If accountability is not the issue, perhaps the intake procedure or instruction should be changed to better meet the needs of these students.

Does this class site itself have some problems that prevent students from attending, such as inappropriate furniture for adults or a high crime rate?

Evaluate the possibility of solving the problem or moving the class to another site.

Units of instruction by COMMUNITY

Which communities consistently meet or struggle with enrollments?

If enrollments are high, evaluate why.

What kinds of **partnerships** are in place?

If enrollments are low, look at possible referral agencies, business and industry contacts, times classes are offered, and needs of the community.

Perhaps an ESL class is needed instead of an ABE/GED class, for example:

What kind of advertising has been done?
Do people know where and when classes are held?
Do they know that it's free?
Do they know what kinds of things they can learn at this class?
Talk to community leaders, judges, probation officers, welfare caseworkers, and temporary employment agencies.

Sherry Dick, Monroe County Schools Adult Education
Outstanding Adult Education Administrator 2004

Motivation will almost always beat mere talent.

--Norman R. Augustine
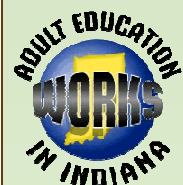
Detailing…Student Information

Adult Education Student Folder Checklist

Site: _____ Teacher: _____ Date: _____/_____/_____

The Individual Learner Record (Registration Materials)

❑ Learner Registration Information (LRI) complete; realistic goals marked, including "Improve Basic Skills" for all students

❑ Placement/Testing form completed with all required scores and information including posttest information if the student has attended for 30–50 hours; educational functioning level matches test results

❑ Learner Exit form completed if student has left the program; progress level, goals, and achievements match information on the Adult Learning Plan (ALP)

❑ Release of Information form(s) signed by learner

Assessment Information

❑ Locator (TABE) or appraisal (CASAS) results

❑ Oral interview complete for ESL students

❑ Level and form of TABE or CASAS matches locator/appraisal; sub-test results recorded

❑ Posttest information recorded if appropriate

❑ Item analysis available to view

❑ Waiver of testing documented if appropriate

Adult Learning Plan

❑ Completed ALP present in folder within first 12 hours of attendance

❑ First page of ALP completed and signed by student and staff

❑ Goals set are realistic and match those on the Learner Registration Information (LRI) form

❑ Methods and materials documented and appropriate for student goals and education level

❑ Evidence of continuous progress monitoring (dates/scores of completed short term goal post-tests, etc.)

❑ Modified goals noted and dated (and submitted to data entry staff)

Adult Education Student Folder Checklist *(continued)*

Documentation of Outcomes/Follow-Up

❑ Posttest scores recorded and level gains documented on ALP cover sheet

❑ Documentation of goals achieved (i.e. Achievement Data form completed for children's literacy goal, copy of GED diploma, copy of letter of acceptance to postsecondary institution if available, etc.)

❑ Calling logs document all contact with students regarding progress toward goals set

Other – Optional

❑ Exit form from high school present in folders of 16 & 17 year olds

❑ Documentation of requested attendance monitoring by referring agencies

❑ Documentation of retention efforts

❑ Documentation of referrals to other agencies

❑ Samples of student work if desired

Note: **Sign in/out forms must be on file for each student on the instructor's unit report and must include legible name, student signature, and time in and time out of class each day of attendance. Sign in sheets, along with other documents mentioned in this checklist (except the optional ones), must be kept for five years in addition to the current program year.**

Monthly Attendance Record

Unit Dates		Site
Meeting Schedule		Instructor

Student Number	Student Name	Level Gain	Dates & Hours Attended		Hours		
					Cum.	Unit	Total
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							

Designed and Developed by Tricia Johnson.
Used with permission.

~

An electronic copy of this form, with formulas,
is located on the CD inside the front cover of this manual.

Optional Document: Provided as an example for gathering/monitoring information or data.

Total Hours

Total Number of Students

Total Enrolled (12+ hours)

Total Number of Contact Hours

Total Registered (Attended 2 Classes)

Monthly Attendance Record *(Sample)*

Unit Dates	9/2/06 – 10/21/06	Site	Adult Learning Center
Meeting Schedule	Tuesday, Thursday: 8:00-11:00 a.m.	Instructor	A. Goodteacher

Dates & Hours Attended

Student Number	Student Name	Level Gain	2	7	9	14	16	21	23	28	30	5	7	12	14	19	21	Cum	Unit	Total
1	Ima Student	N	3.00	A	3.00	3.00	3.00	3.00	A	3.00								20.0	18	38
2	Ura Student	Y	3.00	3.00	3.00	3.00	3.00	2.50	3.00	3.00								15.0	23.5	38.5
3	Heeza Student	Y	3.00	3.00	2.50	3.00	3.00	2.50	3.00	3.00								16.0	23	39
4	Sheeza Learner				3.00	3.00	3.00	3.00	3.00	3.00								0.0	18	18
5	John Doe							2.00	2.00	2.75								0.0	6.75	6.75
6	Jane Doe		3.00	3.00	A	3.00	3.00	3.00	3.00	3.00								0.0	21	21
7	Christopher Robbin			2.50	3.00	3.00	2.50	3.00	3.00	3.00								0.0	20	20
8	Clark Kent		3.00	3.00	3.00	3.00	2.50	3.00	3.00	3.00								0.0	23.5	23.5
9																			0	0
10																			0	0
11																			0	0
12																			0	0
13																			0	0
14																			0	0
15																			0	0
16																			0	0
17																			0	0
18																			0	0
19																			0	0
20																			0	0
21																			0	0
22																			0	0
23																		0.00	0	0
24																			0	0
25																			0	0
	Total Hours		15.0	14.5	17.5	21.0	20.0	22.0	20.0	23.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00		153.75	204.75
	Total Number of Students		5	6	7	7	7	8	8	8	0	0	0	0	0	0	0			

What you enter after each class.

What you need to change each unit.

Designed and Developed by Tricia Johnson. Used with permission.

An electronic copy of this form, with formulas, is located on the CD inside the front cover of this manual.

Optional Document: Provided as an example for gathering/monitoring information or data.

Total Enrolled (12+ hours)	7

Total Registered (Attended 2 Classes)	8

Total Number of Contact Hours	153.75

Adult Education Student Retention

Student retention can be one of the most difficult aspects of adult education. Several factors contribute to the problem. First, attendance is, for most students, voluntary. Secondly, adults live busy lives and class attendance often is secondary to work and family commitments. Finally, adult education students often disliked "school" for a variety of reasons. The factors that caused them to drop out of high school may be present in the adult education classroom also.

Following are some research-based suggestions to improve student retention.

Managed Enrollment

Consider setting specific days and times for registration and orientation to the adult education classroom. When scheduled in advance, registration times can:

- Provide instructors more time and attention for students.

    Currently enrolled students have the staff's full attention during most class days.
    Instructors can prepare students in advance of the registration/orientation day.
    Staff can concentrate attention on new students during the registration.

- Provide new students, who enter class together, the opportunity to form a cohort group.

    Decrease feelings of isolation.
    Increase a sense of belonging and support.
    Help with problem solving (transportation, child care, etc.).

- Provide more continuity of instruction.

    Instructors can set up a unit or series of lessons for the group without needing to continually catch up new learners.

Adult Education Student Retention *(continued)*

Attention to Barriers

- Institutional Barriers such as class times, locations, fees, etc. can be barriers that prevent students from staying in class.

- Situational Barriers, such as childcare, transportation, work conflicts, etc., can cause a student to drop out. Learning problems such as attention deficit and learning disabilities, unless addressed, can cause a student to become discouraged and leave class. Many times collaborating agencies can assist with some of these barriers. Consider professional development for staff and accessing school counselor services to assist students.

- Dispositional Barriers include the attitudes and beliefs a student holds about his/her ability to succeed based upon past experience. When they experience difficulties, feelings of discouragement are validated and they drop out. We must provide:

    Mastery Experiences

        Help students experience success early
        Regularly recognize student successes - certificates, awards, posttests, progress reports,
            evidence of progress on ALP's, "Wall of Fame," etc.

    Vicarious Experiences

        Invite current or past students to registration to talk about their success
        Encourage students to bring in GED certificates, college admissions letters, job
            promotions, etc. to class and share the good news
        Peer tutoring

    Support from Staff
        (Relationship with the instructor is one of the chief factors in student retention.)

        Verbal assurances
        Encourage a culture of support among students
        Give students an opportunity to discuss positive and negative forces and how they affect
            attendance; brainstorm solutions

    Strategies to Address Fears

        Talk about learning history
        Discuss learning styles, multiple intelligences, etc. in class
        Discuss strategies for overcoming test anxiety

Adult Education Student Retention *(continued)*

Goal Setting

Adults who have a specific goal are more likely to persist than those who have no goal.

- At Intake

    Discuss student's goals and expectations.

    > Determine long-term goals and reasons behind them.
    > Find out what the student expects of the class.
    > Address expectations that can be met in class and those that are unrealistic within the adult education classroom.

    Discuss program's goals and expectations.

    > Attendance - student's goals can be achieved only if they attend.
    > > Does your program have an attendance policy?
    > > Would that be a helpful guide for students and teachers?
    > Give student the opportunity to gracefully opt out of continuing with registration if it doesn't meet their needs or they cannot meet the program's expectations at this time.

- In Class

    > Set realistic, achievable steps for reaching long-term goals.
    > Review student goals regularly for changes and accountability.

Instruction

We should avoid depending on the same instructional strategies at which our learners failed previously.

- Relate the skills they are learning to their lives and needs. Learning must have meaning or students will not stay. Imbed life skills into instruction.
- Provide learning in a variety of formats, not just paper and pencil or a computer program.
- Remember our students were not previously successful with this format.
- Incorporate technology wisely. It can be a retention tool.
- Give students an opportunity to move around and share learning with others - peer tutors, learning stations, small groups, etc.
- Have fun occasionally. Create a community of learning so that students look forward to coming to class and know that others would notice if they are not there.

How to Use Computers Wisely

Taken from "The Accelerated Learning Handbook" by Dave Meier (pp 183 –184)

Here are some suggestions for using computer technology more effectively as an adjunct to learning. Computers serve best when they help create learning environments that are:

- **Collaborative.** All good learning is social. Peer teaching, according to a Stanford University study, far outperformed computer tutorials or any other form of instruction. By creating learning programs for teams of two or more people (rather than just for individuals), you can tap into the power of dialog and peer teaching that has proven to enhance the quantity and quality of learning for everyone.

- **Futzy.** According to Paul Strassman, in his book The Squandered Computer, research has indicated that people learn better by experimenting, asking coworkers for help, and following menu prompts than they do from highly controlled computer-based tutorials, lecture-driven seminars, or videotaped presentations.

- **Option-rich.** The computer should never be thought of as the master teacher and the sole delivery system for learning, but just one component in a whole suite of resources.

- **Activity-based.** People generally learn more from activities and real-world experiences than they learn from presentations.

- **Problem-centered.** Rather than using the computer as a know-it-all information hose, have the computer pose problems for the learners to solve. Problem posing rather than answer giving gets learners totally involved and teaches them how to think, how to search for information, and how to turn information into actionable knowledge – valuable skills in today's world.

- **Creative.** Knowledge is not something learners absorb, but something learners create. Computers are used most wisely when they do not simply provide information but help learners create their own meaning, knowledge, and value out of it.

- **4-phased.** Whether classroom-based or technology-based, organizing a training program around *preparation* (the arousal of interest), *presentation* (the initial encounter with new knowledge or skill), *practice* (the integration of the new knowledge or skill), and *performance* (the application of the new knowledge and skill to real-world situations) is essential for optimal learning.

The Limits of Technology

Taken from "The Accelerated Learning Handbook" by Dave Meier

Computers and the Web *can* play a big role in learning when used appropriately. But here are some additional factors that make our mechanical schoolmasters less than perfect teachers for everything across the board.

- **Computers tend to be isolating.** According to the research, people learn best, not in isolation, but by interacting with others in a real-world context.

- **Computers tend to keep people physically passive.** Technology-driven learning programs today tend to still treat learning as a verbal, linear, rationalistic, "head" sort of thing and seem unaware of all the research into the body's role in learning. They utilize only a fraction of a person's total learning resources.

- **Computers tend to appeal to only one learning style.** The majority of people who are hands-on, physical, nonlinear learners often find many forms of computer-based learning slow, boring, and ineffective.

- **Computers tend to be media-based rather than experience-based**.

Dr. George Wood, Retired, Ball State University
John R. Craddock Award Recipient 2005

For when was honey ever made from one bee in the hive?

-- Thomas Hood

Coaching…Advice from the Field

Administrator Checklist

This checklist is designed to validate training. Review it to confirm current status. Check back periodically to monitor progress.

Indiana's Adult Education System

☐   I know who my program consultant is and how to contact him/her.

☐   I have contact information for the Division of Adult Education staff, Workforce Specialists, Coaching Consultant, and Professional Development consultants.

☐   I know how to access the IDOE, Division of Adult Education Web site.

☐   I have reviewed the Online Teacher Pre-Service.

☐   I know who serves as the Professional Development Facilitator for my program.

Funding Information

☐   I understand the differences between federal and state adult education funding.

☐   I have a copy of my program's line item federal budget and understand how to modify it if necessary.

☐   I have a plan for monitoring my federal budget.

☐   I have a contact in the business office who can answer questions about local fiscal policy and procedures.

☐   I know what my program's state allocation is for the current term.

☐   I have units of instruction set up for the current term and teachers know the start and end dates of their units of instruction.

☐   I have projected state funding expenditures and know if we will over-spend or under-spend the allocation this term.

☐   I understand state reimbursement for Administrative and Support Costs and know whether my program submits these for the current program year,

☐   I understand that each unit of instruction must have a minimum of five (5) eligible students enrolled and that the average number of students per unit must equal or exceed ten.

☐   I understand that fiscal records must be kept for five (5) years.

Administrator Checklist *(continued)*

Reporting

☐   I have a copy of the due dates for federal reports.

☐   I have a copy of the due dates for state reports.

☐   I know where to find the report forms.

☐   I understand the National Reporting System measures.

☐   I know what my program's performance measures are for the current program year.

☐   I know my program's system for setting, monitoring, and reporting student goals and achievements.

☐   I know my program's system for student goal follow-up.

☐   I know how to use the report data to analyze program needs.

State Policy

☐   I can confirm that each class in my program maintains sign in sheets with student signatures, time in, and time out to verify student enrollments.

☐   I can confirm that each student has an Adult Learning Plan (ALP) developed by the instructor and student using standardized assessment information and student goals and that teachers monitor these regularly.

☐   I understand the definition of an eligible student.

☐   I have a Regional Coordinating Council and have scheduled at least three (3) meetings this year.

☐   I understand that teachers in my program must hold a valid Indiana teaching license.

☐   I know what the assessment policy says and my program is in compliance.

☐   I know what must be present in the student folder and which documents must be maintained for five (5) years previous to the current program year.

Resources

☐   I have access to program marketing materials.

☐   I understand the New Teacher Training System and know how to access it for new instructors.

☐   I know where to find resources for special adult education student populations.

Never Assume – Be Proactive

The following ideas were developed during a meeting of new adult education administrators and state staff at a meeting on October 27, 2005.

Never Assume – the previous administrator did everything correctly.

Be Proactive – Ask questions; don't guess.

- Take time to read the Teacher Handbook.

- Ask questions of an experienced administrator.

- Know what your state and federal budgets are and monitor expenditures.

- Analyze past program report data.
    (Do a "fact finding" mission.)

- Attend state meetings and visit the Division of Adult Education Web Site.

- Know your program's vision statement or develop one.

- Identify barriers to success and find the root causes.

- Ensure that all instructors have a current Indiana license.

- Ensure that all staff follow correct assessment policy and procedure.

- Make use of the state staff expertise.

- Utilize Professional Development Consultants and Professional Development Facilitators.

- Ask questions on the administrators' listserv.

- Visit another program to see how others address issues.

Never Assume – Be Proactive *(continued)*

Never Assume – your local school district knows what you do or how adult education affects what they do. How much do your superintendent and board know about the GED, ESL, ABE, ASC? How supportive are they?

Be Proactive – Be informative.

- Start a blog to communicate information about your program to everyone in the community including the press, superintendent, school board, referring agencies, etc.

- Introduce learners and/or their stories to the board along with a thank you.
     (Put a face with the program services.)

- Develop a relationship with board members.

- Make presentations to the school board.

- Send a quarterly summary to your superintendent, board, and coordinating council.

- Send a monthly postcard with adult education facts to school board members.

- Write articles for the school newsletter(s).

- Invite superintendent and board to your graduation ceremony.
     (Use them as speakers at graduation.)

- Have the president of the board present the GED certificates to those who earned them that month at the board meeting.
     (Student can invite his/her family.)

- Give high school counselors information about the GED.
     (It is normed to be more difficult than ISTEP.)

- Provide counselors with letters from ABE/GED students to potential dropouts.
     (Advice from those who have "been there and done that" and found out it doesn't work the way they dreamed it would.)

- Give counselors a folder containing information about GED/ASC classes to be given to dropouts.

- Point out what your program does to benefit the district.

- Invite superintendent and board members to classes.

Never Assume – Be Proactive *(continued)*

Never Assume – your staff will welcome your proposed changes.

Be Proactive – Explain why changes are necessary and give staff input into *how* changes can be implemented.

- Implement changes slowly.

- Talk about the money.

- Keep them informed and present information tactfully.
    (Help them understand the reasons for the changes)

- Remind staff of the ultimate reason adult education exists – to serve the students – so given the realities, how can we best use the resources we have to do that effectively?

- Have regular staff meetings.

- Ask for their input.
    (They have expertise we may not have.)

- Give them knowledge of the problem and motivation to implement changes.
    (Make them a part of the decision making process.)

- Working together to solve a problem gives them an opportunity to get to know each other better in a field where many are isolated because of the design of the program.

Never Assume – Be Proactive *(continued)*

Never Assume – your communities know what you offer, or when and where the services are offered. Sometimes we are invisible.

Be Proactive – Make your program known.

- Advertise.

    Set up a Web site
    Movie theatre ads
    Cable ads and radio spots
    TV and radio interviews
    Restaurant placemats
    Brochures
    Human-interest stories in newspapers
    Schedule of classes in the local current events section of the newspaper
    Feature student stories in articles and interviews

- Let business and industry know what you do.

    Choose Coordinating Council members wisely.
        (Keep them informed and ask for their input on how to prepare students to be better employees)
    Write articles for the local Chamber of Commerce newsletter.
    Attend job fair.
    Advertise to/through employment agencies.
    Invite Human Resources representatives to speak to students about whom they hire and why they fire.
        (What makes a good employee?)
    Some employers will put a flyer about adult education in with the payroll checks.

- Share success stories with elected officials.

    Invite a state legislator to give out diplomas at graduation.
    Invite them to visit class to speak about the aspect of government in which they are involved.
    Encourage students to respond to requests for legislative feedback by discussing issues in class and writing responses to be sent or emailed.
        (After grammatical errors are corrected!)
    Send, or have students send, a thank you note to your legislators for the funds that make adult education possible.
    Tell them about the results your program is getting and how it affects their constituency.
    Inform them of needs for which there are currently no funds.

Never Assume – Be Proactive *(continued)*

Be Proactive – Make your program known. *(continued)*

- Get to know your local Department of Workforce Development office – collaborate.

    Ask for their assistance in preparing students for job search and retention skills.
    Ask for assistance with childcare.
    Ask them how you can serve their clients.
    Ask them to refer students.
    Refer students to their services.

- Talk to judges and probation officers to inform them of the services available to probationers and to discuss who has a reasonable chance of success.

    Suggest mandating attendance rather than "Get a GED."

- Present information at meetings of Head Start parents, service clubs, and other community partners.

- At GED classes

    Hold an Open House at the class site and invite community leaders to attend.
    Hold a "Bring a Friend" pizza party (donated pizza) at the classroom and invite the media to report on the story.
    Take $1.00 off the GED test fee for every hour attended up to $30.00.
        (Using funds from sources other than your federal budget.)

Never Assume – Be Proactive *(continued)*

Never Assume – your will be on target if you don't know what you're aiming at!

Be Proactive – Know what your program needs and make a plan to get there.

- Examine Report Information!

    The information in the reports will reveal strengths and weaknesses of your program. Don't know what to look for?
    Call state staff or consultant.

- Determine community needs with the help of your Coordinating Council.

- Use a student needs assessment to determine areas of improvement.

- Set long-term goals for specific areas of your program based on report information, community needs, staff input, student input, and observation.

    Ask where you *want* to be in 2 years.

    Where do you *need* to be?
    Know how your program measures up to the State Benchmarks for Quality Programs and state performance averages.

    How will you get there?
    Consider the following areas:
    Technology
    Marketing
    Curriculum
    Recruitment
    Retention
    Programming
    Support Services
    Student Outcomes and Follow-up
    Professional Development
    Funding

Remember: No one will fund your program to make your job easier. Funders will support your program because you do an excellent job of serving people in your community who need your services.

Let's Administer Adult Education with Excellence!

Budget Planning and Monitoring

Budgeting is a continuous process. Once you have set a budget, it must be monitored and modified as needed. Organization and regular tracking allow you to know quickly where your program is financially and to be prepared to make modifications to spending so that you use your funding effectively.

Budget Codes

The codes are used to submit your financial information in a standard method to the government. These definitions will be helpful if this form of reporting is new to you.

$$\underline{555} - \underline{13100} - \underline{690}$$

Fund #   Account #   Functional Category
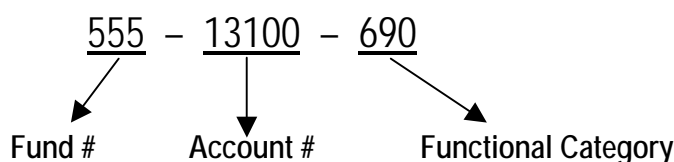
Fund Number (3 digits): The prefix identifies each different funding entity. This number is assigned by your financial officer and will be updated yearly.

Account Number (5 digits): This number describes the general spending category.

Functional Category (3 digits): The suffix describes the specific type of expense.

Note: Depending on your accounting system, additional digits might be added following the account number to specify the school year.

Organizational Tips

Always keep budget information for each fund organized in some type of a system, such as file folders, a binder for each fund, or whatever works for you. The following categories are some suggestions for breaking funds down into manageable pieces:

Budget breakdown: This is your overall budget information, what you are spending in each fund, and how much will be spent in each account within the fund. You create and monitor this budget. Excel spreadsheets are very useful for this budget. This is the same information you will be sending to the state for your financial reporting.

Distribution information: These are the letters sent to you from the state that identify what your distribution amounts are and when they will be distributed.

Reporting: Keep a record of the all reports that you send to the state for each fund.

Budget Planning and Monitoring *(continued)*

Organizational Tips *(continued)*

Purchase Orders, Vouchers, Contracts, etc.: Track how your money is spent out of each account. If the money is leaving the fund, you should know how much and where it is going. You can work with your financial and payroll officers to determine how they need this information submitted.

Appropriation Report: This report is generated by your financial officer. You will give them your budget information at the beginning of the year and they will enter the amounts you give them when they are setting up the accounts each year. It tracks what you planned to spend in your budget and how much you have spent in each account to date. This gives you a general picture of where each account is but you need to use the expenditure report to see specifically what is being paid out of each functional category. Make sure you resubmit your appropriations to you financial officer if you make a budget modification.

Expenditure Report: This report breaks down each fund by accounts and tells you how much money has been spent out of each account and how it was spent. Your financial officer should be able to print this report for you. You need to monitor this report for each fund on a regular basis – monthly, if possible, but at least quarterly. Check this report against your budget and make sure you are spending what you planned to spend. If these figures are not matching up, you will have to go back to your purchase orders, vouchers, contracts, and payroll distributions to make sure everything is matching up. You will do budget modifications based on how accurate your budget predictions are matching with your expenditure reports.

Financial Information

Following are some tips for tracking financial information. (If you have a new financial officer, you may need to monitor your funds more often because of the variety of funding tracks used in adult education.)

Payroll: To insure that your payroll (one of your biggest expenditures) is being distributed correctly, when you set up your contracts create a spreadsheet that shows how much of your funds should be paid out each pay period. It is time consuming but it can save you in the long run. If payroll is coming out of the wrong account, it can quickly throw off all of your figures.

Benefits: Benefits are difficult to estimate because there are so many variables for each employee. Since it is hard to estimate, it needs special attention when monitoring your funds. You can monitor benefits monthly but at least break your benefit estimates down into quarterly figures and check them quarterly. Most benefits (403B, Health, Life) will be taken out of your accounts monthly, but teacher retirement benefits are taken quarterly. Tracking them quarterly will help you to determine modifications needs.

Budget Planning and Monitoring (continued)

Financial Information *(continued)*

Accounting: Make sure all of your expenses can be tracked with a paper trail. Purchase orders, vouchers, mileage expenses, etc. should all have paperwork to verify what the money was spent on. Work with your financial officer to determine your school's system of tracking expenses but make sure you know where the money has gone and what is was spent on.

Submitted By: Tricia Johnson
               Adult Education Director
               Southeastern Career Center
               901 W. US 50
               Versailles, IN 47042

               (812) 689-8253 ext. 233
               Fax (812) 689-6977
               tjohnson@sccenter.k12.in.us

Collaboration

How collaborations can save your program money or help you use it more efficiently

- Free use of facilities/shared sites
- Free services
    - Internet providers are sometimes willing to provide free Internet services to local adult education sites because you are not online that much, and it is good advertising for them.
    - Some computer stores (particularly local companies) will provide free maintenance to your computer(s), especially if you post a note saying so. It provides good public relations/advertising for them.
- Donated or loaned equipment or materials
    - Left over paper from a printing company
    - Donation of supplies with company name on them
- Volunteers from churches, literacy organizations, etc. to use as tutors, intake assistants, or office staff
- Joint grant writing
- Referrals from agencies increase as you work with them; they (and those agencies they work with closely) become more familiar with what you do and when services are offered
- College/University students who are on work study programs provided as tutors or office staff
- Literacy organizations – book fairs
- Special Education can provide IEP's, advice, and assistance for students under 22 years of age
- Local welfare office and Head Start programs can provide transportation (or funds for it) as well as money for the GED test, books, and materials for some of their clients
- Staff development
- Use of computer lab for employee classes
- Local factory/employer on site
- Special instruction for students
    - Extension office can provide nutrition information
    - Better Business Bureau can provide credit or budgeting information
    - Business/Industry can provide information
        - How they decide whom to hire (and whom to fire!)
        - How resumes, interviews, letters of inquiry, etc. can help in getting a job
        - Those things that are the most important to remember in order to keep a job

Collaboration *(continued)*

Some of the agencies and businesses suggested by participants for collaboration are:

- Work One Centers/Workforce Development
- Literacy councils
- Local employers
- CAPE grant programs
- Community Action groups
- Churches/religious groups
- Service clubs
- United Way
- Sheriff's Department
- Drug Free Communities fund
- Elementary school PTO's/family literacy coordinator
- Parent University with K12
- Public Law 221/No Child Left Behind – set up classes
- Family Literacy programs or Even Start
- Title I
- Head Start
- Toyota Families in Schools
- SINE – Southwest Indiana Network for Education
- Talent Search University
- Court system
- Special Education/school corporation
- Business/Industry
- Public libraries
- Family and Social Services Administration/Welfare offices
- Chamber of Commerce
- Community Foundation
- Private Schools
- Economic Development
- City/County Government
- Horizon
- Verizon
- AT&T
- WalMart
- J.C. Penney
- Teacher's Credit Union

Community Collaborations/Partnerships
How to Get Started

The goal for any collaboration is to serve students and community to the best of our ability with limited resources.

Why Collaborate?

- To provide more comprehensive services to students
- To capture new money for the program
- To use existing funding more efficiently
- To advertise your services
- To generate student referrals

Where to Start

- Identify a need in your program
- Identify a community partner that has a stake in the same clients or issues
    Your Coordinating Council is a good place to start

Who Are the Potential Partners?

- Agencies that serve your students: Department of Workforce Development/WorkOne Centers, Head Start, Welfare, etc.
- Business and Industry
- Local Service Clubs: Lions Club, Kiwanis, Rotary
- Judicial System: sheriff's department, probation, judges
- Community/Faith Based Organizations: literacy groups, CAPE grant recipients, churches, United Way, Community Foundation, libraries, Chamber of Commerce
- Schools: special education services, high school counselors

How to Begin

- Reach out to the Community
- Ask what you can offer them
    Whom do they serve? Do you have common clients?
    What is **their** objective or need? Can you assist them?
    What are their rules or parameters for service?
- What can they offer your program and students?
    Communicate your needs
    Communicate your rules and parameters for service
- Write it down and make it clear: email, memo, Memorandum of Understanding (MOU)
- Keep in contact: Thank you, "How are we doing?"
- Give them credit: on brochures, news articles, etc.

Coordinating Council
A Recipe for Success

Purpose of the Coordinating Council

- Bring resources to the program – funding, equipment, volunteers, etc.
- Build alliances
- Inform others of your services
- Inform others of your effectiveness
- Identify community resources
- Identify community needs
- Benefit students by providing more support services

Who Should Be Represented on Your Council?

- Required partners (Other IDOE funded adult education providers in your region)
    - State only funded programs
    - Subcontracted programs
    - Even Start programs
    - Outreach programs
- Department of Workforce Development
- WIB board representative
- School Corporation representative such as:
    - Superintendent/Principal
    - High School Counselors
    - School Board member
    - Technology Person
- Head Start
- Literacy groups
- Postsecondary education institutions such as Ivy Tech, colleges, and universities
- Extension Education service
- Judicial/Law Enforcement Representatives
    - Judge
    - Sheriff
    - Probation Officer
    - Jail Commander
- Chamber of Commerce
- Business/Industry
- City or county government representatives
- Economic Development Council
- Township Trustees

Coordinating Council
A Recipe for Success *(continued)*

Who Should Be Represented on Your Council? *(continued)*

- Welfare – particularly IMPACT
- Library
- Faith based organizations – Catholic Family Charities, pastors, YMCA, etc.
- Civic organizations – Rotary, Lions, Kiwanis
- Community Foundation
- Counseling/Treatment Centers
- Former Students

What Do You Do At a Meeting?

1. Disseminate information to help members do their job better.
   a. About your program and services
      i. Program overview – services and where offered
      ii. Report on effectiveness/successes – summary of quarterly and annual reports
      iii. Request assistance with needs and challenges
      iv. Recruitment/referrals
   b. About the GED – What is it? Where and when is it given? How hard is it? What kinds of accommodations are available?
   c. Special speakers – legislators, mayor, chamber director, business/industry– regarding a "hot topic"
2. Members support each other.
   a. Share information about services each member offers/changes in services or needs
   b. Letters of support for grants, etc.
   c. Recruitment
   d. Funding possibilities
   e. Collaboration for services to clients
   f. Serve on each other's boards, committees, etc.
3. Identify Community needs.
   a. Areas that need adult education services – youth, offenders, unemployed
   b. Changes in demographic makeup of district
   c. Changes in services available to clients/students
4. Address a community problem or need.
   a. Example – the Logansport council identified a need for transportation and made this known in the community; Council on Aging stepped up with vans to provide this service

Coordinating Council
A Recipe for Success *(continued)*

How Do You Put It All Together Effectively?

- Get member's commitment to serve for the coming program year while it is still summer. Let them know what your expectations are for members.
- Set meetings in advance and notify members of all meeting dates.
- Have an agenda for meetings and remind members of the next meeting at the end of each meeting.
- Send a reminder 10 days to 2 weeks in advance of the meeting. (Remember these are very busy people; they will schedule over your meeting if they are not reminded.)
- Send minutes of meeting to all members (this keeps you on their mind).
- Send a summary of the Council's work at the end of the program year.
- Invite members to classes.
- Invite members to graduation and recognition ceremonies and recognize them.
- Feed them!
- Share results of the meetings with your staff to make them aware of the collaborations, needs, etc. in their communities.

The great part about the coordinating council is that it serves both your students and your community.

End of Year

Reporting Tips and Reminders

- Remind staff to posttest students before the end of the program year.

- Ensure that data are being entered regularly so that reports can be run.

    Consider running some initial reports early to ensure that any missing demographic information can be captured now while teachers still have access to the students.

    Trouble-shoot any other problems.

    Determine if the level gain information has been reported to data entry for inclusion on the reports.

    Determine if students who have left the program have been officially exited on i-STAR so that their outcomes will be counted on your report. This can save you time and stress at the end of the program year.

- Do as much follow-up as possible on this year's students.

    For federally funded programs, outcomes reported on the Initial Annual Performance Report (due July 31) will be used for the Performance and Incentive Awards in the fall.

    Performance outcomes reported on the Final Annual Performance Report (due November 1) are awarded the following program year.

- Review the reports before sending them in.

    Adult Education Final Report Form is due July 15 (State report).

        Does every unit of instruction have 5 eligible adult students enrolled?
            If not, is that information accurate, or is data missing?
        Does your program have an average of 10 enrolled overall for Spring Term?
        Does the report you are sending in contain only Spring Term classes?
            Remember that you reported Summer/Fall classes in February. Those classes have already been reimbursed and should not be included on the July report.
        Is the total amount claimed for reimbursement correct?
            If you used some/all federal dollars for a teacher's salary, ensure that those funds are not claimed on the state report.

End of Year *(continued)*

Reporting Tips and Reminders *(continued)*

Administrative and Support Costs Final Report is due July 15, if appropriate (State Report).

Are the expenditures claimed on this report outside of the local maintenance of effort and line items on your federal budget?

Is the amount claimed no more than 15% of the state allocation?

ABE Cumulative Quarterly Report is due July 31 (Federal i-STAR Report).

Does the number of enrolled students match the total on the Annual Performance Report?

(Note that ASC students do not show up on the Quarterly Report.)

Compare the number of students, percent retained, and average number of contact hours to the previous year.

Does the information appear to be accurate?

ABE Quarterly Proration of Employee Time, if needed, is due July 31.

Coordinating Council Minutes

Ensure that the minutes reflect information shared/discussed regarding the adult education program.

Initial Annual Performance Report is due July 31 (State and Federal i-STAR Report).

- Note that four reports are due on August 30. All of the forms needed for these reports are on the Division's Web site.

- Make use of state staff expertise.

End of Year *(continued)*

Budget Tips

- Federal Budge*t*

  Remember that an individual line item may be over-spent or under-spent by as much as 10% as long as the total grant amount does not change.

  Meet with the business office at the beginning of June to clarify line items yet to be spent.

  Provide forms for the August 30 Final Fiscal Report and ABE Itemization of Local Expenditures reports to the appropriate person for completion.

  Encumber funds that will be spent but not actually paid by June 30 (for example, books and supplies that are ordered in June but that will actually be paid in July or PERF that is due for the final quarter but not paid until July).

  Plan next year's line item budget.

    What items did you modify this year and need to change for next year?

    What programming, personnel, or site changes will take place that will require funding changes?

  Verify salary and benefit increases for employees before planning next year's budget.

    If the increase is not yet known, plan with the average increase from the past three years.

- State Budget

  Remember to verify the hourly rate and benefits of instructors for the current term when reporting salaries. Contract negotiations/settlements can alter salaries in mid-year.

  Compare the amount on the Adult Education Final Report Form to the amount that payroll says actually was paid during the term. Small things, like substitute teachers and calculation errors on benefits, can cause discrepancies.

  Compare the amount on the Spring Term Adult Education Final Report to the state allocation for the program.

    If the allocation is under-spent, you may claim administrative and support costs for program expenditures that were made during the term and were not part of the local maintenance of effort or the federal budget.

End of Year *(continued)*

Planning

- Coordinating Council

    Identify members for next year.

    Send a thank you note to this year's members.

    > Review the topics discussed and resulting program improvements or changes.

    Ask new members now for participation on next year's council.

    Schedule three meeting dates for the coming year and notify members.

    Brainstorm a rough plan of meeting topics.

- Units of Instruction

    Plan units of instruction now for each term in the coming program year.

    > Multiply the unit hours by next year's hourly salary and benefit rates for each teacher.

    > When the state allocation figures for your program are released, compare your estimates to the allocation.

    > Then make necessary adjustments to match available funds.

    Include salary increases in projections.

    Look at the enrollment history for each site when determining the number of hours per unit.

    > If enrollment is traditionally high, units can be made shorter to maximize student enrollments.

    > If enrollments are traditionally low, plan longer units to ensure that the minimum of 5 and average of 10 will be achieved.

    Put class times for summer and fall on your Web site and in brochures.

    Get the word out about summer classes.

    > Make sure referring partners, employment agencies, WorkOne sites, local newspapers, libraries, etc. get a schedule of classes.

End of Year *(continued)*

Planning *(continued)*

- Other

    Pay attention to level gains on the Annual Performance Report.

    Plan how you will increase these next year.

    Are students consistently being posttested? If not, how can this be improved? Does staff monitor student hours?

    Are students staying long enough to be posttested? If not, what kind of retention strategies can your program put in place?

    Are students making level gains when posttested? If not, what curriculum and instructional changes need to be made?

    Is posttest and level gain information getting to data entry personnel?

    If not, review the data flow and make changes. Note that the i-STAR software does not automatically mark a level gain based on posttest scores. Level gain information must be entered separately by data entry personnel based upon the exit form or other locally developed system.

    Plan to monitor student outcome follow-up or delegate someone to do this.

    Plan to inform staff regularly of progress toward Performance Measures.

    Review changes in demographics, area employment statistics, etc.

    What changes will need to be made to respond to community needs?

    Plan to use resources efficiently.

    Look at new ways to partner with others in the coming year.

    Can another agency or group provide childcare, transportation, legal aid, volunteers, additional funding?

    Who else serves the same client base?

    How can you maximize your funding and provide better services to students?

Fundraising – Successfully

Top Tips for Proposal Writers

- Be creative and positive, not problem oriented; what is your idea?

- Be realistic; don't promise global changes from your efforts.

- Be factual and specific; don't talk in generalities or in emotional terms. Be able to substantiate all statements in your proposal — otherwise don't make them.

- Present a proposal for something specific; don't send in a shopping list since this is asking the funder to determine your priorities.

- Be respectful of what you are asking for; don't say, "It's just a small amount," or "I only need . . ."

- Use language for lay people; no abbreviations, initials, jargon, or verbs turned into nouns (e.g., "prioritize").

- Approve all proposals from your organization; don't let subordinates send out proposals under their names only.

- Do funding research for your proposal; don't just blanket every foundation with the request. Make your request fit the foundation's range of giving; don't ask each foundation for the total amount. Ask for things that each foundation funds.

- Be clear in how you will operate; don't say or imply that money alone will solve the problem.

- Submit a finished proposal; don't ask the funder to review a draft. Send in proposals that are completed. Did you sign it? Is it legible? Are the enclosures there? Is there a budget? Is there enough postage?

- Present your proposal without encasing it in plastic, binders, or binding; the funder needs to copy it.

- Ask for things you need; don't include items you already have, and don't ask for retroactive funding.

- Treat the funder with respect and respect yourself; don't grovel; don't say, "If you don't fund us we will go out of business," since this implies the funder is responsible for your actions.

- Do it yourself; teach you own staff about fundraising, but if you hire a development person or a consultant, stay on top of it. Proposals exclusively written by development people usually don't make sense because that person isn't familiar with the project.

(This information comes from Scholastic.com. http://content.scholastic.com/browse/article.jsp?id=4160)

Fundraising – Successfully *(continued)*

Top Tips to Sharpen Your Proposal

- Read and re-read the proposal guidelines. Follow all directions. Answer all questions.

- Visualize your funding source as one person.

- Write in the third person.

- Be serious but not dull.

- Be positive by emphasizing opportunity rather than need.

- Demonstrate confidence by saying "We will," not "We hope."

- Be concrete rather than philosophical.

- Eliminate jargon and avoid emotional appeal.

- Create a "skimmable" proposal. Use headings and bullets to make your proposal easy to follow. Number pages and put together a table of contents for longer grants (over 20 pages).

- Have others read your proposal and grade it according to the guideline priorities.

Top Tips for Grant Budgets

- Make detailed budgets, not general categories; don't hide anything.

- Be able to substantiate your budget figures.

- Have budgets that anyone can understand; don't submit fiscal items that are so customized that the funder can't understand them.

- Give evidence of future support or a realistic appraisal of future fund raising; vague statements such as "We'll go to corporations" do not substantiate your future prospects.

- Be honest; don't ask for short-term money when your future is uncertain; don't turn the funder into an ambulance driver to the rescue.

(This information comes from Scholastic.com. http://content.scholastic.com/browse/article.jsp?id=4160)

Fundraising – Successfully *(continued)*

Top Tips for Communicating with Potential Funders

- Use the telephone; don't ask, "May I come in and talk to you?" without explaining what you have in mind.

- When you call a funder, be organized; don't use the funder to motivate you to organize your thoughts.

- When calling a funder, be specific; don't ask for advice as a subterfuge for having a conversation.

- Remember telephone etiquette; a funder will try to return calls, but if your line remains busy, it is not the funder's responsibility to get back to you. Try not to use the phrase "He or she is in a meeting" repeatedly, since it gives the impression that the caller is being undervalued, and that meetings are more important than dealing with the public. Avoid asking who is calling and then saying that the person being called is not in, since this gives the impression that the person is "not in" for the caller.

- In an interview with a potential funder, take notes and be aware of the questions being asked — they show where your proposal is weak and whether the funder understands your request. The interview should be a learning experience.

- Use the cover letter to its full extent, summarizing the request in a concise way; don't ramble or miniaturize the total proposal.

- Make letters of intent succinct; don't let them ramble to multiple pages. Describe who you are, what is proposed, and how much is needed.

- Take full responsibility for your proposal; don't say, "I am writing as you suggested," implying some sort of endorsement by the funder.

- Know with whom you are dealing; don't write "Dear Friend," or "To Whom it May Concern," or "Executive Director," and don't leave out the salutation altogether.

(This information comes from Scholastic.com. http://content.scholastic.com/browse/article.jsp?id=4160)

Fundraising – Successfully *(continued)*

Top Tips to Prove You are Credible

- Give details about who will do what. Give evidence of your ability to undertake the program, the past experience of your agency in this area or of your personnel; don't assume anything.

- Show that you know your field and what else is being done; don't say your project is unique unless it really is.

- If you are undertaking something new or for which you have no previous experience, then give some evidence of why the funder should have confidence that you can do it.

- Plan ahead; don't call the funder with a request for immediate money unless it is an unforeseen emergency.

- Give evaluation evidence of past work, not general statements of how many people were affected.

(This information comes from Scholastic.com.   http://content.scholastic.com/browse/article.jsp?id=4160)

Grants and Funding

Laying the Foundation in the Community

Goals

- To saturate the community with information about your project

- To identify and contact key people in the community

- To obtain non-financial support

- To engage people in the project by having them contribute to it

- To establish a broad base of community linkage

Strategies

- Establish an advisory board composed of people from all walks of life.

- Use newsletters -- send yours to local businesses, industries, and clubs. Ask to receive theirs. Contribute articles to their newsletters.

- Have an open house.

- Have your director become a member of community councils, projects, and local task forces.

- Establish a referral service between your project and service agencies.

- Establish non-financial contracts with local businesses and industries.

    Make an appointment.
    Visit key individual.
    Ask for support -- publicity, posters, supplies, newsletter space, books, speakers, etc.
    Follow up with a letter of thanks.

- Offer the services of your project to every agency that deals with your target population.

- Think globally.

    Use all available media -- TV, radio, newspapers.
    Submit articles to newsletters.
    Make presentations at clubs, meetings, and service organizations.

- Develop a contact file.

    Keep a log or set up a file for the organization. Whenever the organization is contacted, make a summary of it and put it in the file.

- Collaborate with other educational agencies, committees, councils, and libraries by cosponsoring programs or share resources.

(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis.
Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy.
Permission to duplicate this material granted by JoAnn Vorst.)

Grants and Funding *(continued)*

Laying the Foundation Within the Project

Goals

- To secure the program on a solid foundation
- To establish credibility

Strategies

- Assess the needs of the community.

- Establish satellite centers in target areas.

- Use a program area or component that will yield greatest impact. This data can be used later for fund raising and support.

- Hire a competent, diversified staff. People need to do a variety of tasks. Write job descriptions.

- Involve staff, students, and advisory board in planning. Ownership in decision-making enables people to feel responsible for the program.

- Write and use objectives.

- Develop a timeline.

- Keep a diary or log.

- Evaluate the program -- collect data and be accountable.

- Constantly re-evaluate. Put the most effort in those areas that will payoff.

- Develop a program packet that shows your track record. The packet can contain impact data, clippings, endorsements, letters of support, program materials, and accomplishments. Have various packets targeted to specific audiences.

- Create a positive attitude and climate in the program. Trust your staff and give them the freedom to be innovative. If the staff is innovative and responsive to the community, you will build program components that meet real needs and will appeal to a broad base of people. Students will be served and various people in the community will find something with which they can relate.

(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis.
Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy.
Permission to duplicate this material granted by JoAnn Vorst.)

Grants and Funding *(continued)*

Maintaining and Developing Community Ties

Goals

- To keep non-financial contracts alive

- To use program information as a lever to prompt financial contributions

- To expand but continually build on the foundation

- To make trades

Strategies

- Organize your organization to maintain public relations.

  > Allocate the key responsibilities of leadership, program maintenance, and public relations to two or three people.
  > Capitalize on the experience of your staff.
  > Develop a plan for where you want to go.
  > Take the strengths of your program and use them in your plan.
  > Maintain high visibility in the community to keep community interest high and to assess community needs.
  > Direct the PR arm of your program.
  > Make PR continuous and global.

- Get comprehensive lists of all the businesses, industries, service clubs, and agencies in your community; contact each one in some way. The post office will provide box-holder numbers.

- Continue to link up with educational programs and projects. Establish postsecondary ties to establish credit or be part of a grant.

- Become actively involved in the community through community action groups, boards, councils, or professional organizations.

- Continue to link with groups that have your target population. Offer to speak to their staffs, to provide publicity, and foster the goals of their agency.

- Offer non-financial agreements to target groups -- they make referrals and you serve the clients.

(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis. Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy. Permission to duplicate this material granted by JoAnn Vorst.)

Grants and Funding *(continued)*

Widening the Contact Base

Goals

- To gain regional, state, and national recognition
- To build a wide base of friends and contacts

Strategy

- Contact all aspects of government -- find people in key positions that need to be convinced of your program's value.

  > Contact the governor, mayor, state legislators, national representatives, council members, and judges.
  > Call, write, or ask them to visit your program. Send them information about the program, visit them, ask for their help or advice, ask for a letter of support, or sponsor talks at which they are the featured speaker.

- Contact educators -- state superintendent, local superintendent, board of education, key department of education staff, and local school administrators.

  > Get articles in the school newsletter, send notes to parents through the schools, share resources, trade-off services, get invited to their in-services, and invite them to your in-services.

- Establish and keep a contact file recording all contacts made by any staff member.

- Meet criticism with friendship. Treat critics as friends. Send them notes of thanks, compliment them, send them newsletters and information that will help them with their job.

(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis.
Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy.
Permission to duplicate this material granted by JoAnn Vorst.)

Grants and Funding *(continued)*

Looking for Increased Support and Alternative Funding Sources

Goals

- To get donations

- To get on-going sources of funding

- To get funding for innovations

Donation Strategy

- Look at the total program needs. Divide the needs into areas such as staff, space, phone, materials, etc. Try to match a specific need with a possible donor. You will need several donors for such things as office supplies.

- Saturate the community with your need. Get a front-page news story with impact data, relevant information, and statements from key people. Have students, volunteers, and key people send letters to the editor. Use your advisory board to reach key people.

- Get other organizations to work for and with you. Jointly ask for money that will benefit you and your collaborating agency.

- Find people who have special talents or resources that will benefit your project. For example: an author who will teach a mini class.

- Look at groups that have a reputation for giving and target them. Phone for an appointment; visit them; present an array of needs, and ask for support in one or more areas.

- Go to your local university and ask for a list of their donors. Use the list for your organization's solicitations.

- Look at your previous non-financial donors. Request their financial support to continue your program.

- Ask students and volunteers to provide testimonials.

- Begin to identify an on-going, stable source of income.

(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis.
Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy.
Permission to duplicate this material granted by JoAnn Vorst.)

Grants and Funding *(continued)*

On-Going

Sources Strategy

- Link with a Local Education Agency (LEA.)

    Get on board meeting agendas.
    Make trade-offs.
    Inform the superintendent of your program's progress.
    Keep all principals informed.
    Write articles for their newsletters.
    Get invited to their in-services. Invite them to yours.
    Have an LEA key person on your advisory board.
    Work with teachers through organizations such as the International Reading Association.
    Try to get money for staff or at least one position.

- Form a consortium of industries or businesses that would sponsor a part of your project.

- Link with United Way.

    Contract for services.

- Investigate what may be available at the state level -- for example, Adult Basic Education.

- Investigate national and state foundations whose goal is education.

- Seek community development funds from the mayor's office.

Innovations Strategy

- Link with another agency to ask for special equipment or sponsorship of a joint project.

- Use past linkages and friendships to reach people you are unable to reach on your own.

- Identify business, state, and national sources. Things such as state research, 310 projects, LEA block grants, governor's discretionary funds, or local philanthropic organizations.

- Match program innovation to a community interest group.

- Sell a service -- what do you have? Who needs it? For example: ESL or basic skills for local industry.

*(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis.
 Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy.
 Permission to duplicate this material granted by JoAnn Vorst.)*

Grants and Funding *(continued)*

Other Ideas and Tips

- In pursuing funding, you do not work *for* the money; you work *to get* the money.

- Make friends with everyone because you never know when you will need a friend.

- Your best sources of information are close to home.

- Contacting groups in your community is the quickest way to learn about their services and how you can collaborate with them.

- Leave no stone unturned!

- Keep contacting people -- send them your newsletter; put them in your newsletter; send them information; put them on your advisory board; or contact them to serve on action groups. Anticipate obstacles.

- Use students and volunteers to sell your program.

- Neglect no one.

- Your director must be a good salesperson, believe in the program, work tirelessly, enjoy initiating and maintaining good public relations, and be community and service minded.

- If your immediate goal is to stay alive -- get donations.

- Be creative and believe in the impossible.

- Build the foundation; maintain it; and never let one part of it crumble.

(This material is taken from Strategies for Obtaining Financial and Non-Financial Support: An Analysis. Based on Experience by JoAnn Vorst and Mary E. Lucey, Lafayette Adult Resource Academy. Permission to duplicate this material granted by JoAnn Vorst.)

Marketing – Take Five!

We're all busy – but everyone has five minutes here and there!

Are you waiting on…

- A phone call?

    - A late appointment to arrive?

        - Someone who's bringing your lunch?

            - A meeting to start?

Use that time! It is amazing what you can do for adult education marketing in just five minutes!

If you have just five minutes to help with adult education marketing and communication, you can (at little or no cost)…

1. E-mail a copy of a student graduation speech, along with a photo and contact information, to Dr. Jerry Haffner (jhaffner@doe.state.in.us) or Kathy Copas (KathyCopas@aol.com). We can use these stories and photos in newsletters, on the Web, in media contacts, and in many other ways that can help share our story statewide.

2. Mail us a copy of a thank-you letter or note you have received from a local business or industry where you have provided training. These letters can be used as we develop newsletters, videos/DVDs, and media stories. You can send it to Dr. Jerry Haffner at DOE or to Kathy Copas, Communication Services, 1636 Slate Run Road, Suite 110-113, New Albany, IN 47150.

3. Write and address a thank you note to a stakeholder in your community. A sample: "Just wanted to take a moment and thank you for your ongoing support of adult education programs in Indiana. In addition to over 43,000 students and hundreds of business and industry partners we serve in the Hoosier state each year, we just had our *(insert a sentence about your graduation, registration, growth, or any other positive results you would like to mention)*. I would love an opportunity to give you a tour of some of our programs as you have time. It may be helpful for you to get a first-hand look at the exciting work going on right here in this community. Please give me a call at *(insert your contact information)* and perhaps we can get together soon. Thank you again for all you do to support adult education in the Hoosier state." Incidentally – this may be a good time to think of a reason a stakeholder could speak to a group associated with your adult education programs (i.e., new classes or programs starting, a building dedication, graduation, etc.) and extend an invitation to do so.

Marketing – Take Five! *(continued)*

If you have just five minutes…*(continued)*

4. Call the editor of your local newspaper and invite him or her to lunch and for a tour. (If you need contact names, phone numbers, e-mails, addresses, or other information, consult your 2004-2005 media manual or contact KathyCopas@aol.com.)

5. Order a sign for each of your buildings displaying the Adult Education Works logo. To order signs, contact KathyCopas@aol.com or call (502) 345-6406.

6. Contact a graduate and ask them to write a newspaper letter-to-the-editor testimonial about their positive experiences in your program.

7. Mention your program in positive, casual conversation while you're standing in line at the grocery, the WalMart, or a community fair or festival. You never know whom you might meet! And, remember – everyone you talk to has a sphere of influence of at least seven people.

8. Shoot great photos of something going on in your building (and get ID's and permission). Download them and e-mail jpg's of two of the best ones to your local newspaper.

9. Get on your local newspaper online "letters to the editor" blog and tell them why your program is important.

10. Pick up the phone and call the human resources office of any new or emerging business with 25 or more employees in your community. Ask if you might drop by sometime and share some training opportunities.

11. Call your local electric company, rural electric co-op, locally owned restaurant, or bank and ask if they will put "Adult Education Works" and your phone number on their marquee sign.

12. Call the president of your local Rotary, Lions, Sertoma, Business and Professional Women, or other service club and ask if you or another adult education representative (like a recent graduate) might be able to provide a program for one of their upcoming meetings.

13. Call your local county fair coordinator or rural cooperative extension office and ask for their suggestions about how you might be able to have some visibility at this summer's county fair.

14. E-mail the Webmaster for your city or town's community home page and indicate you would like to link up or provide information about your adult education programs.

15. Hang some balloons or streamers out on your front door or registration sign, plant a flower, or generally do anything to make the appearance of your building more bright and compelling to passers-by.

Marketing – Take Five! *(continued)*

If you have just five minutes…*(continued)*

16. Call one church in your community and ask them to put a notice about adult education opportunities in their worship bulletin or newsletter (if you have more than five minutes, call more than one church). By the way, ask the church secretary if they are ever seeking community speakers for adult church school or discussion classes.

17. Walk in any McDonald's in your community, stop six people, and ask them what they know about adult education programs in your area and how to find your location. What they do or don't know will give you some sort of an idea about where awareness needs to be built and misconceptions addressed.

18. Call your local chamber of commerce and ask that a note promoting adult education opportunities be placed in their next newsletter. Also mention that you would be interested in being included as a part of their chamber leadership program focus on education, if you aren't already.

19. Call your city-county economic development coordinator and ask if he or she would be willing to drop by for a tour to learn more about how your services could help them attract business and industry to your community.

20. You know all of those business cards and registration fliers or brochures you have setting around? Think of one person you've encountered in the past 30 days who may really need one and personally hand-address a copy and mail it.

21. E-mail your local cable television community service news channel some news about your upcoming open house, registration, graduation, or other special adult education event.

22. Address and send six copies of your print information to any of the following: a divorce lawyer, a therapist, a barber, a beautician, or a bartender. Why? These people all see many people who are likely candidates for your services.

23. Call up one business or former student you haven't heard from in six months to see what you might do to assist them.

24. Call a local musical group and invite them to perform on the sidewalk, parking lot, or in the yard of your building as registration for new classes is going on.

25. Call a student graduate and ask for a name of one person who, for some reason, really needs to hear about what your programs have to offer. Then, make that call.

Marketing – Take Five! *(continued)*

If you have longer than five minutes…

Here are some ideas you can explore…

1. Get out there and be visible with a table or booth at your county fair or summer or fall festival. Invite successful grads to help staff the display.

2. Do a weekend table display at your local WalMart, during "back to school" sales time, when returning for some training is on the minds of even many of your adults. Again, your best students may also turn out to be some of your best ambassadors.

3. Hold a stakeholder appreciation event, designed to thank your area's stakeholders for their continuing support of adult education. Offer lunch or some simple refreshments; prepare, frame, and present thank you certificates of appreciation, show stakeholders the results of your work (have students or grads on hand to offer testimonials or show portions of the adult education DVD), and take photographs of their awards for your community newspaper.

4. Plan a series of fun, community-oriented events for warm weather Fridays on your lawn, parking lot, or another exterior area around your building. Music, a farmer's market, a lemonade stand, live music, a car show, or anything that would draw attention to your facilities would help make folks more aware of where you are and what you have to offer.

5. Gather up some volunteers and make a huge batch of chocolate chip cookies one morning. Hand-deliver them (while they're still warm) to human resources/training directors in your area with a marketing-oriented card or note attached.

6. Offer a weekly column for your local newspaper around issues of getting an education, job training, and other topics related to your programs and services. Present one sample column and offer a commitment to do three months' worth weekly.

7. Develop a mailing list of clubs and organizations in your community. Prepare and send a letter offering someone as a speaker about adult education. Follow up this letter one month later with a phone call.

8. Get an artistic school-related class or group to paint a mural on your building illuminating your programs and services or build a sculpture around that theme for your yard, parking lot, or sidewalk.

9. Find out if your community is holding a July 4th parade. If it is, be there with a decorated float, car, or marching unit. If there is no such parade in your community, consider organizing a "back to school" parade in August. It can be very simple but focused around your facilities and programs.

Marketing – Take Five! *(continued)*

If you have longer than five minutes…*(continued)*

10. Locate a computer geek from your area high school or college this summer and ask him/her to help you get a Web page together and update it. (You may be able to get a lot of great work on this project for very few dollars.)

11. Hold a summer outdoors ice cream social for community stakeholders. Get a local grocery to donate the ice cream and get students and grads to help serve it.

12. Collect, compile, and distribute a "mini-book" of student success stories.

13. Form a small alumni group, hold fun quarterly meetings, offer them continued recognition and support, ask for their advice and help, and take it.

14. Take some time out to update your community mailing lists for marketing tools such as the "Adult Education Works" newsletters. The effort will be well worth it and your local chamber of commerce or economic development office can usually help.

15. Prepare "Adult Education Works" t-shirts or buttons, sell them for a donation to cover your costs, and prepare them with numbers on them. Have "shirt spotters" or "pin spotters" in your community that will offer door prizes donated by local merchants.

These are a few simple ideas. Be creative! Be sure to share your best ideas with the rest of us!

Submitted by: Kathy Copas
                Communication Services
                1636 Slate Run Road, Suite 110-113
                New Albany, IN 47150

                (812) 945-7827
                Fax (812) 945-5085
                KathyCopas@aol.com

Staff Supervision

Effective staff supervision can best be accomplished through relationship and team building. Evaluation is an important aspect if done in a way that affirms individual strengths even as suggestions are offered to improve job performance.

Perhaps "Employee Development" is a more accurate term since the emphasis should be on providing opportunities for program personnel (at all levels) to receive the training and support they need to be effective. Helping them find their "best fit" in the program whole is good for everyone and promotes innovative thinking.

Supervisors see the many puzzle pieces, all with unique shapes and sizes. But most individuals see only the pieces nearest their own work environment. Utilize those insights to full advantage. Seek ongoing feedback from each staff member about what is working well, what is not working, and how the program can be made more efficient, effective, and responsive to student needs. Value all input and make sure that all program personnel are included as part of the team. Working backwards can be effective in this regard:

- Determine the bottom-line program goal.
    Although this is a group-generated goal, the bottom line will be something about serving the needs of students.

- Discuss how that can best be accomplished.
    Answers to that question will include money; funding enables effective programming, including:
    Qualified teachers who understand the needs of adult learners of all ages and ability levels
        Up-to-date materials designed for adult learners
        Orientation sessions that clearly define expectations
        Efficient and timely standardized testing, both pre and post
        Professional development opportunities for all staff in achieving overall program goals, effective communication and tracking of those goals and achievements, best practices from the field, and individual mentoring and support

- Recognizing the need for program dollars, how do we keep the funding in place?
        Ensuring that students have many opportunities to meet their individual goals
        Using up-to-date forms to accurately collect and report data
        Working together to ensure testing and attendance accountability
        Forming relationships with students so that they want to be in their classes every day, they want to learn all they can, and they want to return to tell us when they get a job, a promotion, or have become enrolled in a postsecondary program

Staff Supervision *(continued)*

- Students benefit most when everyone works together for the greater good.

- Relationship building is not based on becoming "buddies" but on maintaining professional collegial interactions with students and staff that demonstrate appreciation of each other's commitment to the program and to their own personal growth along with that of the many students served.

Submitted By: Bonnie Rogers, Ed.D.
                Coordinator of Continuing Education
                Anthis Career Center
                Ft. Wayne Community Schools Adult Education
                1200 S. Barr Street
                Ft. Wayne, IN 46802

                (260) 467-1060
                Fax (260) 467-1186
                Bonnie.rogers@fwcs.k12.in.us

Teacher Checklist

This checklist is designed to validate training. Review it to confirm current status. Check back periodically to monitor progress.

Site Information

☐ I have been given information about keys and security.

☐ I know if I have an aide or volunteers.

☐ I know if there are other teachers who will be on site when I am.

☐ I will have the following equipment and material available:

    ☐ file cabinet

    ☐ bookshelves

    ☐ copier

    ☐ computer(s)

    ☐ overhead projector

    ☐ curriculum/books

    ☐ printer(s)

    ☐ TV/VCR

    ☐ assessment instruments

☐ I understand who is responsible for custodial duties.

☐ I know whom to contact in case of an emergency.

☐ I know how many students usually attend my class.

☐ I know how to request more forms or materials.

☐ I know where to find registration and assessment materials.

☐ I have been given a daily and yearly class schedule.

☐ I have observed an experienced teacher in a class similar to mine.

☐ I have been given time to review curriculum materials.

Teacher Checklist *(continued)*

Paperwork and Procedures

☐ I understand my local program's policies and procedures for pay, absences, class cancellations, and delays.

☐ I understand how intake, orientation, and registration of new students take place.

☐ I have been trained in giving the required assessments.

☐ I know how to interpret the test results to assign an educational functioning level.

☐ I know what the Adult Learning Plan (ALP) looks like and how to develop it with student input.

☐ I understand how to monitor a student's progress and record it on the ALP.

☐ I understand the National Reporting System (NRS) standards and how to help my students set goals.

☐ I understand the importance of the Sign In/Sign Out sheets and how to record attendance information.

☐ I understand the meaning of unit of instruction.

☐ I understand the meaning of "registered" student.

☐ I understand the meaning of "enrolled" student.

☐ I understand that I must have a minimum of five (5), and an average of ten (10), enrolled students in my class for every unit of instruction.

☐ I know which forms must be present in the student folder.

☐ I know the procedure for exiting a student who has completed the program or who has dropped out.

☐ I understand the system for identifying students who are ready to be posttested.

☐ I understand the procedure for identifying and serving special needs students.

☐ I have a list of support services available for my students and know how to refer students to the appropriate agency.

☐ I understand that the program must keep student files for five (5) years after the current program year.

Teacher Checklist *(continued)*

Follow-up and Reporting

☐   I know what data I must report.

☐   I know the dates my reports are due.

☐   I know to whom I must submit my reports.

☐   I understand my responsibilities in the follow-up of student achievements.

Professional Development

☐   I have a list of program personnel and know whom to contact for:

      ☐   discipline questions

      ☐   technology questions

      ☐   security questions

      ☐   other _____

☐   I have been assigned a mentor teacher.

☐   I know the name and contact information for my local program's Professional Development Facilitator (PDF).

☐   I know the name and contact information for my regional Professional Development Consultant.

☐   My name and contact information has been sent to my regional Professional Development Consultant.

☐   I know how to access professional development in my program and region.

Kim Powers, McDowell Adult Education Center
Outstanding Adult Education Administrator 2005

The mediocre leader tells.
The good leader explains.
The superior leader demonstrates.
The great leader inspires.

--Buchholz and Roth
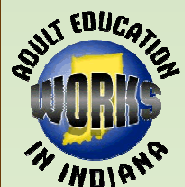
Supporting…Appendix

Acronyms and Initials

Acronym	Description
AAACE	American Association for Adult and Continuing Education
ABE	Adult Basic Education
ADA	Americans with Disabilities Act (federal legislation)
ADD	Attention Deficit Disorder
ADHD	Attention Deficit Hyperactivity Disorder
ALP	Adult Learning Plan
ASC	Adult Secondary Credit
ASE	Adult Secondary Education (Includes ASC and GED programs.)
BEST	Basic English Skills Test
CAI	Computer Assisted Instruction
CASAS	Comprehensive Adult Student Assessment System
CBAE	Competency-Based Adult Education
CBO	Community-Based Organization
COABE	Commission on Adult Basic Education
DAEL	Division of Adult Education and Literacy
DHS	Department of Homeland Security
DOC	Department of Correction
DOE	Department of Education
DWD	Department of Workforce Development
EL	English Literacy
ERIC	Educational Resources Information Center
ESL	English as a Second Language
FY	Fiscal Year
GED	General Educational Development
GEDTS	General Educational Development Testing Service
IAACE	Indiana Association for Adult and Continuing Education
IALC	Indiana Adult Literacy Coalition
IDEA	Individuals with Disabilities Education Act (federal legislation)
IEP	Individualized Education Plan
ILR	Individual Learner Record
INTESOL	Indiana Teachers of English to Speakers of Other Languages
IRA	International Reading Association

Acronyms and Initials *(continued)*

Acronym	Description
i-CAP	Indiana's Comprehensive Action Plan for Adult Education Programs
i-STAR	Indiana-State Time and Administrative Reporting System
LD	Learning Disability
LEA	Local Education Agency
LEP	Limited English Proficient
LINCS	Literacy Information and Communication System
LLA	Merged With LVA to Create ProLiteracy Worldwide
LRI	Learner Registration Information
LVA	Merged With LLA to Create ProLiteracy Worldwide
NAASLN	National Association for Adults with Special Learning Needs
NALS	National Adult Literacy Survey
NCAL	National Center for Adult Literacy
NCFL	National Center for Family Literacy
NCSALL	National Center for the Study of Adult Learning and Literacy
NIFL	National Institute for Literacy
NRS	National Reporting System
OCE	Office of Correctional Education
OVAE	Office of Vocational and Adult Education
PDF	Professional Development Facilitator
RFP	Request For Proposal
SCANS	Secretary's Commission on Achieving Necessary Skills
SID	Student Identification
SORT	Slosson Oral Reading Test (literacy placement test)
TABE	Tests of Adult Basic Education
TANF	Temporary Assistance for Needy Families (public assistance)
TESOL	Teachers of English to Speakers of Other Languages
USCIS	United States Citizenship and Immigration Services
USDOE	United States Department of Education
WIA	Workforce Investment Act of 1998 (federal legislation)
WIB	Workforce Investment Board
WISC	Wechsler Intelligence Scale for Children
WRAT	Wide Range Achievement Test

Forms Directory

Form	Chapter	Pages
Achievement Data	6	135
Achievement of Performance Measures – Year-to-Date	6	134
Administrative and Support Cost Final Report Form	5	112
Annual Performance Report (APR) Face Sheet – Adult Education	5	90
APR Table 01 – Participants by Entering Educational Functioning Level, Ethnicity, and Sex	5	91
APR Table 02 – Participants by Age, Ethnicity, and Sex	5	92
APR Table 03 – Participants by Program Type and Age	5	93
APR Table 04 – Educational Gains and Attendance by Educational Functioning Level	5	94
APR Table 04B – Educational Gains and Attendance for Pre- and Posttested Participants	5	95
APR Table 05 – Core Follow-Up Outcome Achievement	5	96,97
APR Table 06 – Participant Status and Program Enrollment	5	98
APR Table 07 – Adult Education Personnel by Function and Job Status	5	99
APR Table 08 – Outcomes for Adults in Family Literacy Programs (Optional)	5	100,100
APR Table 09 – Outcomes for Adults in Workplace Literacy Programs (Optional)	5	102
APR Table 10 – Outcomes for Adults in Correctional Education Programs	5	103
APR Table 11 – Secondary Outcome Measures (Optional)	5	104
APR Table 12 – Work-Based Project Learners by Age, Ethnicity, and Sex (Optional)	5	105
APR Table 13 – Core Follow-Up Outcome Achievement for Prior Reporting Year and for Unintended Outcomes (Optional)	5	106
APR Table 14 – Local Grantees by Funding Source	5	107
Attendance Record – Monthly	7	149
Attendance Record – Monthly (Sample)	7	150

Forms Directory *(continued)*

Form	Chapter	Pages
Budget Adult Education and Family Literacy Act – CFDA 84.002A	5	116
Budget Detail for Instructional Costs – FY 20__ Base	4	79
Budget Detail for Non-Instructional Costs – FY 20__ Base	4	80

Budget – Proposed 20__-20__
    Adult Education and Family Literacy Act
    Comprehensive Adult Education Program – CFDA 84.002A
	4	78

Budget Summary – Proposed FY20__
    Federal Comprehensive Program
    July 1, 20__ - June 30, 20__
	4	81

Checklist – Administrator	8	157,158
Checklist – Teacher	8	197-199
Cumulative Quarterly Report – Federally Funded Adult Education Program	5	115
Cumulative Statement of Quarterly Balance – Adult Basic Education	5	117
Due Dates – Federally Funded Comprehensive Programs Program Year July 1, 20__ - June 30, 20__	5	113
Due Dates – State Funded Adult Education Programs Program Year July 1, 20___ - June 30, 20__	5	109
Equipment Inventory – Federal Adult Education Program	5	122
Federal Expenditure Report for Institutionalized Adults Served – Adult Education	5	123
Final Report Form – Administrative and Support Cost	5	112
Final Report Form – Adult Education	5	111
Final Statement of Expenditures – Adult Basic Education Program Year Ending June 30, 20__ – (only for final fiscal report)	5	118
Itemization of Local Expenditures – Adult Basic Education (Attachment to Final Fiscal Report)	5	120
Itemization of Local Expenditures – Adult Basic Education (Attachment to Final Fiscal Report) *(continued)*	5	121

Forms Directory *(continued)*

Form	Chapter	Pages
Learner Exit Follow-Up	6	136
Local Program Survey Report Form – Division of Adult Education Due November 1	5	108
Notification of Intent to Offer State Reimbursable Adult Education Programs July 1, 20__ - June 30, 20__	5	110
Quarterly/Final Reports – Cover Sheet Adult Education Federally Funded Programs	5	114
Quarterly Balance – Cumulative Statement Adult Basic Education	5	117
Quarterly Report – Cumulative Federally Funded Adult Education Program	5	115
Quarterly Proration of Employee Time in Adult Education	5	119
Request for Waiver of Non-Instructional Costs in Excess of 5% Federal Adult Education and Family Literacy Act Funds	4	82

Resources for Adult Education Administrators

Resource Title	Author		Publisher	Date
A New Paradigm of Leadership	Bennis, W. Covey, S. Drucker, P. Peters, T. Deming, W. Perot, H. Senge, P. Schulze, H. Welch, J. Hesselbein, F. Staub, R. Tice, L. Blanchard, K.	Eisner, M. Cashman, K. Pinchott III, G. Senn, L. Naisbitt, J. Bardwick, J. Bell, C. Belasco, J. Block, P. Zenger, J. Hersey, P. et al.	Executive Excellence Publishing 　Utah	1997
Accelerated Learning Handbook, The	Meier, Dave		McGraw Hill 　New York, NY	2000
Authentic Leadership: 　*Rediscovering the Secrets to* 　*Creating Lasting Value*	George, Bill		Jossey-Bass 　California	2003
Death by Meeting	Lencioni, Patrick		Jossey-Bass 　California	2004
Good to Great	Collins, Jim		HarperCollins Publishers, Inc. 　New York, NY	2001
Her Place at the Table: 　*A Woman's Guide to Negotiating* 　*Five Key Challenges* 　*to Leadership Success*	Frohlinger, Carol Kolb, Deborah Williams, Judith		Jossey-Bass 　California	2004
If You Don't Feed the Teachers… 　*They Eat the Students!*	Connors, Neila A., Ph.D.		Incentive Publications, Inc. 　Tennessee	2000
In Search of Excellence: 　*Lessons from American* 　*Best-Run Companies*	Peters, Thomas J. Waterman, Robert J.		Warner Books 　New York	1982
Leadership as a Lifestyle: 　*The Path to Personal Integrity* 　*and Positive Influence*	Hawkins, John		Executive Excellence Publishing 　Utah	2001

Resources for Adult Education Administrators *(continued)*

Resource Title	Author	Publisher	Date
Leadership on the Line: Staying Alive Through the Dangers of Living	Heifetz, Ronald A. Linskey, Marty	Harvard Business School Press Massachusetts	2002
Leadership the Challenge	Kouzes, James M. Posner, Barry Z.	Jossey-Bass California	2002
Lighter Side of Leadership, The	Bacall, Aaron	Corwin Press, Inc. California	2002
Management Competencies and Sample Indicators for the Improvement of Adult Education Programs: A Publication of Building Professional Development Partnerships for Adult Educators Project, PRO-NET	Sherman, Renee, Tibbetts, J. Dobbins, D. Weidler, D.	Pelavin Research Institute Washington, DC	2001
Management Competencies Assessment Instrument: A Publication of Building Professional Development Partnerships for Adult Educators Project, PRO-NET 2000	Sherman, Renee Dobbins, D. Tibbetts, J. Crocker, J. Dlott, M.	American Institutes for Research Washington, DC	2002
One Thing You Need to Know, The	Buckingham, Marcus	Free Press New York, NY	2005
Primal Leadership: Learning to Lead with Emotional Intelligence	Golemann, Daniel Boyatzis, Richard McKee, Annie	Harvard Business School Press Massachusetts	2002
Quick Team-Building Activities for Busy Managers	Miller, Brian Cole	Amacom New York, NY	2004
Ready to Lead?	Price, Alan	Jossey-Bass California	2004
Squirrel Inc: A Fable of Leadership Through Storytelling	Denning, Stephen	Jossey-Bass California	2004
Strategies for Obtaining Financial and Non-Financial Support: An Analysis	Vorst, JoAnn Lucey, Mary E.	Lafayette Adult Resource Academy.	Unknown

Tim Holcomb (right), Four County Adult Education
Outstanding Adult Education Administrator 2006

Victory belongs to the most persevering.

--Napoleon

Exploring…Index

A

Index *(continued)*

B

C

Index *(continued)*

D

E

F

Index *(continued)*

F *(continued)*

Forms *(continued)*

G

H

Index *(continued)*

I

J

L

Index *(continued)*

Index *(continued)*

P (continued)

Index *(continued)*

Index *(continued)*

Index *(continued)*

W

Y

Handbook for Administrators of Adult Education

Content Certification...

> State Staff
> > Indiana Department of Education
> > > Division of Adult Education

Desktop Publisher...

> Judy Turner
> > Document Specialist
> > > Indiana WebWorks

Technology Consultant...

> Les Turner
> > Director of Technology
> > > Northern Indiana Educational Service Center

Project Coordinators...

> Lynne Ames
> > Professional Development Consultant
> > > Northern Indiana Professional Development Project

> Barbara Hofmeyer
> > Coaching Consultant
> > > IDOE, Division of Adult Education

Project Assistant...

> Sharon Yambrick
> > Professional Development Assistant
> > > Northern Indiana Professional Development Project

They may forget what you said,
But they will never forget...
How you make them feel!

Carol Buchner

ADULT EDUCATION WORKS IN INDIANA

INDIANA

Indiana Department of Education / Division of Adult Education

John R. Craddock, Retired, Ball State University
John R. Craddock Award Recipient 1999

Handbook for Administrators
of
Adult Education

First Edition: Fall 2006; Revised July 2007

Policy Notification Statement

It is the policy of the Indiana Department of Education not to discriminate on the basis of race, color, religion, sex, national origin, age, or disability, in its programs, activities, or employment policies as required by the Indiana Civil Rights Law (I.C. 22-9.1), Title VI and Title VII (Civil Rights Act of 1964), the Equal Pay Act of 1973, Title IX (Educational Amendments), Section 504 (Rehabilitation Act of 1973), and the Americans with Disabilities Act (42 USCS § 12101, *et. seq.*).

Inquiries regarding compliance by the Indiana Department of Education with Title IX and other civil rights laws may be directed to the Human Resources Director, Indiana Department of Education, Room 229, State House, Indianapolis, IN 46204-2798, or by telephone to 317-232-6610, or the Director of the Office for Civil Rights, U. S. Department of Education, 111 North Canal Street, Suite 1053, Chicago, IL 60606-7204

--- Dr. Suellen Reed, State Superintendent of Public Instruction

Photos

Pictured on the cover and policy statement page: **Dr. John R. Craddock**

In 1999, the Indiana Association of Adult and Continuing Education (IAACE) created a special award to honor a legend in Adult Education, John R. Craddock. His years of dedication to lifelong learning date back to 1959 when he developed and offered the first two graduate courses in Adult Education at Ball State University. In 1962, he was asked by the Indiana Superintendent of Public Instruction to establish the first Division of Adult Education in the State Department of Education where he became the first director.

Dr. Craddock helped create the Adult Education Master's Degree and Doctoral programs at Ball State University and is one of the founding members of the Indiana Association of Adult and Continuing Education, which combined two existing adult and community education associations into one membership. His years of service and dedication to lifelong learning are why he was presented with a special award in 1999, aptly named the **John R. Craddock Award**. Every year since, IAACE has considered recognizing another educator who has exhibited the same kind of commitment and service to adult and continuing education. To date (FY 2006-2007), there have been five additional John R. Craddock Award recipients: Dr. James McElhinney (2001), Ken Woodruff (2003), Ruth Huffman-Hine, Ph.D. (2004), Dr. George Wood (2005), and Carlotta Anderson (2007). Many of them are pictured on chapter covers 2, 4, 6, and 8.

Additionally in 1999, the Indiana Association of Adult and Continuing Education (IAACE) established another award of distinction. This award was to honor **Outstanding Adult Education Administrators**. The first recipient of this award was JoAnn Vorst (1999) and the award has continued since it was introduced. Nominations are received from the membership and the awards are granted based on a highly regarded set of guidelines. The nominations are reviewed by the current year awards committee and granted at the annual IAACE conference. Eight additional adult education administrators have received this prestigious award. They are Ed Cole (2000), Steve Schenkel (2002), Greg Long (2003), Sherry Dick (2004), Kim Powers (2005), Tim Holcomb (2006), Linda Friedrich (2007), and Brenda Owen (2007). Many of them are also pictured on chapter covers; see Chapters 1, 3, 5, 7, 9, and 10.

State/Regional Adult Education Contact Information

Linda Warner
Director
(317) 232-0521
lwarner@doe.state.in.us

Jerry Haffner
Assistant Director
(317) 232-0525
jhaffner@doe.state.in.us

Nancy Waite
State GED Administrator
(317) 232-0523
nwaite@doe.state.in.us

Linda Warner
Family Literacy Contact
(317) 232-0521
lwarner@doe.state.in.us

Regional Information

North	Central	South
Program Consultants		
Cindy Sibert (317) 234-1365 csibert@doe.state.in.us	Nancy Olsen (317) 232-0543 nolsen@doe.state.in.us	Jerry Haffner (317) 232-0525 jhaffner@doe.state.in.us
Director of Professional Development – Professional Development Facilitator Project		
Denise Cox	(800) 532-8339	dcox@ciesc.k12.in.us
Workforce Adult Education Specialists		
Suzanne Wheeler (574) 250-0528 (cell) suzwh1@netzero.com	Jon Trippeer (800) 875-4557 jtrippeer@continentalin.com	John Henderson (812) 376-3842 (work) (812) 390-8073 (cell) jobrhenderson@sbcglobal.net
Workforce Professional Development Coordinator		
Sara Gutting	(800) 532-8339	sgutting@ciesc.k12.in.us

Other Resources:

Lynne Ames
Professional Development Consultant
(888) 267-0119
lynne@niesc.k12.in.us

Barbara Hofmeyer
Coaching Consultant
(260) 927-8720
bhofmeyer@
niesc.k12.in.us

Dan Wann
Two Leaves Consulting
(317) 845-9739
dlwann@comcast.net

Timmie Westfall
Workforce Education Project Director
(888) 481-9990
adulted@psci.net

Revised: July 2007

Indiana Adult Education
New Teacher Training System
(NTTS)

The Adult Education New Teacher Training System (NTTS) is a comprehensive professional development experience preparing new adult educators for success using a blended learning approach of computer-based training, print materials, one-to-one partnerships, and facilitated workshops plus on-demand and just-in-time training opportunities. The contact person for this project is:

Lynne Ames
lynne@niesc.k12.in.us

Components of the NTTS, designed to inform, prepare, and support new adult educators, are:

- Teacher is hired at local program level.

- Program director registers the new teacher on a secure page of Indiana LINCS.

- Teacher receives a Welcome to Adult Education packet to include the *Handbook for Teachers of Adult Education*.

- Teacher receives on-demand training through the Indiana LINCS Online Pre-Service.

- Teacher is paired with a mentor through the Mentor Project or receives informal training at the local level.

- Teacher attends an ABE, ESL, or Workplace New Teacher Workshop.

- Teacher receives assessment training.

More information is available regarding this dynamic process on the Indiana LINCS Web site under the Indiana Adult Education Professional Development Project. The Web address is:

www.inlincs.org

You may also contact any of the Adult Education state staff or professional development consultants.

Revised: July 2007

Attachment A

Benchmarks for Quality Programs

Adult education programs should meet or exceed state benchmarks to ensure program quality.

☐ 1. Educational Gains – Fifty percent of enrollees completed one or more educational levels in 2005-2006. Comprehensive program providers should meet or exceed negotiated levels. Programs that receive only state funding should meet or exceed the state benchmark.

☐ 2. Educational Outcomes –Seventy-five percent of learners who had further education as a goal enrolled in postsecondary education or training in 2005-2006. Seventy-four percent with an employment goal obtained unsubsidized employment. Seventy-eight percent with improved employment as a goal retained unsubsidized employment. Sixty-nine percent with high school completion as a goal earned a GED or diploma. Comprehensive providers should meet or exceed negotiated levels. Programs that receive only state funding should meet or exceed the state benchmark.

☐ 3. Retention - The average number of contact hours per learner is 76 (based on program year 2005-2006). All programs should meet or exceed the state benchmark.

☐ 4. Recruitment - All levels of adults from beginning literacy through high adult secondary education are served. State funded programs must have a program average of 10 learners per unit of instruction to qualify for full state reimbursement. All programs should meet or exceed the state benchmark.

☐ 5. Program Orientation – Pretests using state-approved instruments are administered during specified times. Adult Learning Plans (ALPs) are initially written with learners actively involved in the process. Policies and procedures reflect current research and practice in adult learning. All programs should meet or exceed the state benchmark.

☐ 6. Program Planning, Administration, and Evaluation – Services are coordinated in all program areas. Participation on an active coordinating council is evident by attendance at three meetings during the program year. Programs demonstrate diverse demographics, needs, resources, and local conditions in applications for funding. All programmatic and fiscal reports are submitted on time. Resources are expended to benefit learners. All programs should meet or exceed the state benchmark.

Revised: July 2007

Adult Education Funding Sources

SOURCE of FUNDS	STATE	FEDERAL	LOCAL MAINTENANCE of EFFORT
Authorized by	State Legislature	Workforce Investment Act, Adult Education and Family Literacy Act Title II	Local fiscal agent(s): must be at least 20% of federal funds received
Acquisition Process	Submit Notification of Intent to Offer Adult Education Program; Funds reimbursed following submission of Adult Education Final Report form *(Refer to page #111)*	Comprehensive Program Grant Application (every three years); Annual budget; Paid via scheduled deposits	Approval of local fiscal agent(s); Paid per local agreement
Utilized for	Certified salaries; up to 15% administration and support costs (include: supervision, guidance, educational media, instructional support, clerical, public information/ recruitment, data collection, processing, reporting)	Administration (5-20%), instructional salaries, equipment, materials, travel, recruitment, operation and maintenance, etc.	Administration, salaries, equipment, materials, travel, recruitment, operation and maintenance, etc.
Accountability	Program average of 10 enrolled students, minimum of 5 in each unit of instruction (40-80 hours for ABE, 60-75 hours for ASC)	National Reporting System – Annual Performance Report: percentage of students achieving goals	Report services, outcomes, local benefits to school corporation, and program's coordinating council
Reports (See Web site for due dates.)	(Summer/Fall) Adult Education Final Report Form; (Spring) Adult Education Final Report Form; Mid-year, Initial, and Final Annual Performance Reports; (Optional) Administrative and Support Costs Final Report Form	Cumulative Quarterly Report; Mid-year, Initial, and Final Annual Performance Report; Cumulative Quarterly Expenditure Report; Final Fiscal Report; Final Equipment Inventory; Itemization of Local Expenditures; Final Equipment Inventory; Institutionalized Adults Served; Coordinating Council Minutes; Proration of Employee Time	Local Mandate

(Recommended: quarterly reports to local fiscal agent(s)) |

Revised: July 2007

Budget Modifications

Deadline for Modifying the Federal Budget – April 15

Throughout the year, but particularly during the month of March, please:

- Review expenditures.

    (Note: Your business office can usually help you confirm that your figures are accurate.)

- Estimate the expenses you will have in each of the budget line items until June 30.

- Make any purchases or encumber money by June 30.

- If you will over-spend or under-spend any line item by more than 10%, you **must** do a budget modification.

    (Note: You may move 10% of any line item to another line item [or items] without a budget modification as long as the total budget amount does not change.)

Procedure for Modifying the Federal Budget

The request must be made to the Division of Adult Education in writing by April 15.

Briefly provide rationale for the change.

- *Why* do you need to move money into or out of a particular line item?

    (Remember: Total amount of your federal grant cannot change.)

    Example: Request to move $250.00 out of 26490/120 Non-Certified Benefits
    Request to move $500.00 out of 10000/410 Instructional Supplies
    Request to move $750.00 into 10000/540 Instructional Equipment

    Rationale: One aide will be leaving in January and will be replaced with a volunteer.
    Instructional supplies are currently up to date.
    Copy machine in classroom is beyond repair; will contract to lease a machine at $750.00 for the remainder of the program year.

Revised: July 2007

National Reporting System *(NRS)* Definitions
(Student Follow-Up – Gains/Achievements)

Core Measures – Educational Gains

- ### Core Measure #1: Educational gains

<u>Definition</u>: Learner completes or advances one or more educational functioning levels from his/her starting level, which was based on TABE or CASAS pretest scores at entry into the class or number of credits for ASC students.

<u>Population</u>: All learners

<u>Collection</u>: At entry, all ABE, GED, and ESL learners are given either the Tests of Adult Basic Education (TABE) or Comprehensive Adult Student Assessment System (CASAS) test. The program does not need to assess the learner in all areas, but must assess in the areas in which instruction will be given. The lowest functioning level should be used when determining initial placement. For example, a student may come in at a 7th grade math level (High Intermediate), and a 9th grade reading and writing level (Low Adult Secondary Education). That student will be initially placed in the High Intermediate level, because that was his lowest functioning level, although instruction will take place at the appropriate level for each subject. To determine gain, the learner should be reassessed with the same assessment instrument, but different form, again after 30 to 50 instructional hours. For example, a pretest may be given in TABE level D form 7; thus the posttest given would be TABE level D form 8. *A learner must advance one or more levels in his lowest functioning level in order to be considered as having met this outcome.*

Educational Functioning Level	TABE Grade Level	TABE Scale Score*	CASAS Score*
ABE Beginning Literacy	0 – 1.9	367 or less	200 and below
ABE Beginning Basic Education	2 – 3.9	368 - 460	201 - 210
ABE Intermediate Low	4 – 5.9	461 - 517	211 - 220
ABE Intermediate High	6 – 8.9	518 - 566	221 - 235
ESL Beginning Literacy	0 – 0.9		180 and below
ESL Beginning Low	1 –…		181 - 190
ESL Beginning High	…– 1.9		191 - 200
ESL Intermediate Low	2 – 3.9		201 - 210
ESL Intermediate High	4 – 5.9		211 - 220
ESL Advanced	6 – 8.9		221 - 235
ASE Low (ASC & GED)	9 – 10.9	567 - 595	236 - 245
ASE High (ASC & GED)	11 – 12.9	596 and above	246 and above

Note: Scale scores (*) on this chart are based on reading tests only.

Posttesting is essential to capturing outcomes in this performance measure. Once a student leaves class, there is no way to measure whether this goal has been achieved.

Revised: July 2007

NRS Definitions *(continued)*
(Student Follow-Up – Gains/Achievements)

Secondary Outcome Measures *(continued)*

- **Increased Involvement in Children's Literacy Related Activities**

<u>Definition</u>: Learner increases involvement in the literacy related activities of dependent children under his or her care, including:

> Reading to children

> Visiting a library

> Purchasing books or magazines for children

<u>Population</u>: All learners who have dependent children.

<u>Collection</u>: Information is recorded through local program survey or data gathered while the student was enrolled.

Revised: July 2007

Adult Education Performance Measures
(FY 2007-2008)

Educational Functioning Level	2005-2006 Performance	2005-2006 National Performance (Average)	2006-2007 Target	2007-2008 Target
Beginning ABE Literacy (0-1.9)	37%	38%	40%	41%
Beginning ABE (2-3.9)	48%	40%	47%	49%
Low Intermediate ABE (4-5.9)	53%	40%	51%	54%
High Intermediate ABE (6-8.9)	52%	36%	50%	53%
Low ASE (9-10.9)	46%	42%	45%	48%
Beginning ESL Literacy (0-.9)	49%	37%	46%	50%
Beginning ESL(1-1.9)	50%	37%		
Low Beginning ESL			45%	46%
High Beginning ESL			45%	46%
Low Intermediate ESL (2-3.9)	54%	43%	50%	54%
High Intermediate ESL (4-5.9)	53%	40%	52%	55%
Advanced ESL (6-8.9)	47%	26%	44%	48%
Entered Employment	74%	48%	80%	82%
Retained Employment	78%	64%	84%	85%
GED or HS Diploma	69%	49%	82%	84%
Entered Postsecondary Education	75%	35%	82%	84%

Educational gain in adult education is measured by a set of educational functioning levels in which students are initially placed based on their ability to perform literacy-related tasks in specific content areas. The ABE/ASE and ESL levels describe the skills in basic reading and writing, numeracy, and functional workplace skills that a person functioning at that level could be expected to perform. One of the ESL levels has been divided into two new levels.

Standardized assessment is used to determine initial placement and educational gain. States must also collect and set performance standards for four measures (entering and retaining employment, high school completion, and further education). Results are collected by follow-up survey.

Revised: July 2007

Analyzing APR Data *(continued)*

Table 12 – Work-Based Project Learners by Age, Ethnicity, and Sex   [Optional]

Review for accuracy.

Table 13 – Core Follow-Up Outcome Achievement for Prior Reporting Year and for Unintended Outcomes   [Optional]

Column B contains core outcomes that were attained but not reported in the previous year's program reports. The core goal most reported here will be the Retained Employment goal. Analyze causes for the other three goals reported here.

- Was follow-up timely and according to NRS guidelines?

- Were survey results reported to data entry in a timely manner?

- Column C reports goals that were met but never set by students.
     Analyze this data and discuss this with staff.

- Are outcomes lost because goals are not being set with students?
     Goal setting and monitoring is very important for students and programs.

Table 14 – Local Grantees by Funding Source

Check information for accuracy.

- Report the type of agency that appropriately describes your program.
     Note: Programs with a sub-contractor will list that information in Column C.

- Report the amount of federal (WIA) and/or state funding your program received during the program year through the Indiana Department of Education, Division of Adult Education and the percent of total funds represented by each.

Revised: July 2007

Analyzing Adult Education Final Report Data

> *This document is designed to help you analyze your program data.*
> *It is best utilized when you have a copy of your completed reports available.*

After you have checked the Adult Education Final Report Form (*sample form on page #111*) for accuracy and submitted it to your state consultant, examine the report for information that may help you improve your program. Following are some ways you may look at the report information and gather information that will help you make administrative decisions in the future.

Units of instruction completed by each INSTRUCTOR

- Does this instructor generally retain students well?

    Visit the class to see what is happening.
    Consider this instructor as a mentor for new or under-achieving instructors.
    Evaluate why students are staying.
    Identify the type of instructional strategies employed.
    Observe relationships developed among students and/or with the teacher.

- Does this instructor generally NOT retain students well?

    Visit the class to see what is happening.
    Call former students to see if you can identify a problem.
    Consider different placement (team teaching or a different type of class).
    Consider teacher's strengths (ESL, Young Adult Learner [YAL], etc.).
    Consider paperwork (submitted regularly and accurately).
    Consider **professional development** (instructional techniques, retention strategies, etc.).
    Consider **intake/orientation procedure** (registration, testing, clarity, etc.).

Units of instruction by TIME OF DAY offered

- How many students register and enroll in morning, afternoon, and evening classes?

- Evaluate the need for poor performing class times.

Units of instruction by TIME OF YEAR offered

- Is there a time when registrations and enrollments are higher or lower?

    Why?

        Can anything be done about it?

- Would your **advertising** dollars be wasted during summer or Christmas or are those the best times to recruit new students?

> *Revised: July 2007*

Adult Education Student Retention *(continued)*

Goal Setting

Adults who have a specific goal are more likely to persist than those who have no goal.

- At Intake

    Discuss student's goals and expectations.

    > Determine long-term goals and reasons behind them.
    > Find out what the student expects of the class.
    > Address expectations that can be met in class and those that are unrealistic within the adult education classroom.

    Discuss program's goals and expectations.

    > Attendance - student's goals can be achieved only if they attend.
    >> Does your program have an attendance policy?
    >> Would that be a helpful guide for students and teachers?
    > Give student the opportunity to gracefully opt out of continuing with registration if it doesn't meet his/her needs or he/she cannot meet the program's expectations at this time.

- In Class

    > Set realistic, achievable steps for reaching long-term goals.
    > Review student goals regularly for changes and accountability.

Instruction

We should avoid depending on the same instructional strategies at which our learners failed previously.

- Relate the skills they are learning to their lives and needs. Learning must have meaning or students will not stay. Imbed life skills into instruction.
- Provide learning in a variety of formats, not just paper and pencil or a computer program.
- Incorporate technology wisely. It can be a retention tool.
- Give students an opportunity to move around and share learning with others - peer tutors, learning stations, small groups, etc.
- Have fun occasionally. Create a community of learning so that students look forward to coming to class and know that others would notice if they are not there.

Revised: July 2007

Administrator Checklist

This checklist is designed to validate training. Review it to confirm current status. Check back periodically to monitor progress.

Indiana's Adult Education System

☐   I know who my program consultant is and how to contact him/her.

☐   I have contact information for the Division of Adult Education staff, Workforce Specialists, Coaching Consultant, and Professional Development consultants.

☐   I know how to access the IDOE, Division of Adult Education Web site.

☐   I have reviewed the Online Teacher Pre-Service.

☐   I know who serves as the Professional Development Facilitator for my program.

Funding Information

☐   I understand the differences between federal and state adult education funding.

☐   I have a copy of my program's line item federal budget and understand how to modify it if necessary.

☐   I have a plan for monitoring my federal budget.

☐   I have a contact in the business office who can answer questions about local fiscal policy and procedures.

☐   I know what my program's state allocation is for the current term.

☐   I have units of instruction set up for the current term and teachers know the start and end dates of their units of instruction.

☐   I have projected state funding expenditures and know if we will over-spend or under-spend the allocation this term.

☐   I understand state reimbursement for Administrative and Support Costs and know whether my program submits these for the current program year.

☐   I understand that each unit of instruction must have a minimum of five (5) eligible students enrolled and that the average number of students per unit must equal or exceed ten.

☐   I understand that fiscal records must be kept for five (5) years.

Revised: July 2007

Never Assume – Be Proactive *(continued)*

Be Proactive – Make your program known. *(continued)*

- Get to know your local Department of Workforce Development office – collaborate.

    Ask for their assistance in preparing students for job search and retention skills.
    Ask for assistance with childcare.
    Ask them how you can serve their clients.
    Ask them to refer students.
    Refer students to their services.

- Talk to judges and probation officers to inform them of the services available to probationers.

    Suggest mandating attendance rather than "Get a GED."

- Present information at meetings of Head Start parents, service clubs, and other community partners.

- At GED classes

    Hold an Open House at the class site and invite community leaders to attend.
    Hold a "Bring a Friend" pizza party (donated pizza) at the classroom and invite the media to report on the story.
    Take $1.00 off the GED test fee for every hour attended up to $30.00.

Revised: July 2007

Never Assume – Be Proactive *(continued)*

Never Assume – you will be on target if you don't know what you're aiming at!

Be Proactive – Know what your program needs and make a plan to get there.

- Examine Report Information!

    The information in the reports will reveal strengths and weaknesses of your program.
    Don't know what to look for?
    Call state staff or consultant.

- Determine community needs with the help of your Coordinating Council.

- Use a student needs assessment to determine areas of improvement.

- Set long-term goals for specific areas of your program based on report information, community needs, staff input, student input, and observation.

    Ask where you *want* to be in 2 years.

    Where do you *need* to be?
    Know how your program measures up to the State Benchmarks for Quality Programs and state performance averages.

    How will you get there?
    Consider the following areas:
    Technology
    Marketing
    Curriculum
    Recruitment
    Retention
    Programming
    Support Services
    Student Outcomes and Follow-up
    Professional Development
    Funding

Remember: No one will fund your program to make your job easier. Funders will support your program because you do an excellent job of serving people in your community who need your services.

Let's Administer Adult Education with Excellence!

Revised: July 2007

Budget Planning and Monitoring *(continued)*

Organizational Tips *(continued)*

Purchase Orders, Vouchers, Contracts, etc.: Track how your money is spent out of each account. If the money is leaving the fund, you should know how much and where it is going. You can work with your financial and payroll officers to determine how they need this information submitted.

Appropriation Report: This report is generated by your financial officer. You will give them your budget information at the beginning of the year and they will enter the amounts you give them when they are setting up the accounts each year. It tracks what you planned to spend in your budget and how much you have spent in each account to date. This gives you a general picture of where each account is but you need to use the expenditure report to see specifically what is being paid out of each functional category. Make sure you resubmit your appropriations to your financial officer if you make a budget modification.

Expenditure Report: This report breaks down each fund by accounts and tells you how much money has been spent out of each account and how it was spent. Your financial officer should be able to print this report for you. You need to monitor this report for each fund on a regular basis – monthly, if possible, but at least quarterly. Check this report against your budget and make sure you are spending what you planned to spend. If these figures are not matching up, you will have to go back to your purchase orders, vouchers, contracts, and payroll distributions to make sure everything is matching up. You will do budget modifications based on how accurately your budget predictions are matching with your expenditure reports.

Financial Information

Following are some tips for tracking financial information. (If you have a new financial officer, you may need to monitor your funds more often because of the variety of funding tracks used in adult education.)

Payroll: To insure that your payroll (one of your biggest expenditures) is being distributed correctly, when you set up your contracts create a spreadsheet that shows how much of your funds should be paid out each pay period. It is time consuming but it can save you in the long run. If payroll is coming out of the wrong account, it can quickly throw off all of your figures.

Benefits: Benefits are difficult to estimate because there are so many variables for each employee. Since it is hard to estimate, it needs special attention when monitoring your funds. You can monitor benefits monthly but at least break your benefit estimates down into quarterly figures and check them quarterly. Most benefits (403B, Health, Life) will be taken out of your accounts monthly, but teacher retirement benefits are taken quarterly. Tracking them quarterly will help you to determine modifications needs.

Revised: July 2007

Budget Planning and Monitoring (continued)

Financial Information *(continued)*

Accounting: Make sure all of your expenses can be tracked with a paper trail. Purchase orders, vouchers, mileage expenses, etc. should all have paperwork to verify what the money was spent on. Work with your financial officer to determine your school's system of tracking expenses but make sure you know where the money has gone and what it was spent on.

Submitted By: Tricia Johnson
Adult Education Director
Southeastern Career Center
901 W. US 50
Versailles, IN 47042

(812) 689-8253 ext. 233
Fax (812) 689-6977
tjohnson@sccenter.k12.in.us

Revised: July 2007

Teacher Checklist

This checklist is designed to validate training. Review it to confirm current status. Check back periodically to monitor progress.

Site Information

☐   I have been given information about keys and security.

☐   I know if I have an aide or volunteers.

☐   I know if there are other teachers who will be on site when I am.

☐   I will have the following equipment and material available:

    ☐ Computer(s)　　　☐ Bookshelves　　　☐ Assessment instruments

    ☐ Overhead projector　　☐ Copier　　　☐ Curriculum/books

    ☐ Printer(s)　　　☐ File cabinet

    ☐ TV/VCR

☐   I understand who is responsible for custodial duties.

☐   I know whom to contact in case of an emergency:

    ☐ Custodial　　　☐ Security　　　☐ Other

☐   I know the emergency procedures for:

    ☐ Fire　　　☐ Tornado　　　☐ Other

☐   I know the existing school corporation policies for:

    ☐ Behavior in this building　　☐ Smoking　　　☐ Other

☐   I know how many students usually attend my class.

☐   I know how to request more forms or materials.

☐   I know where to find registration and assessment materials.

☐   I have been given a daily and yearly class schedule.

☐   I have observed an experienced teacher in a class similar to mine.

☐   I have been given time to review curriculum materials.

Revised: July 2007

Teacher Checklist *(continued)*

Follow-up and Reporting

☐   I know what data I must report.

☐   I know the dates my reports are due.

☐   I know to whom I must submit my reports.

☐   I understand my responsibilities in the follow-up of student achievements.

Professional Development

☐   I have a list of program personnel and know whom to contact for:

      ☐ Discipline questions

      ☐ Security questions

      ☐ Technology questions

      ☐ Other _____

☐   I have been assigned a mentor teacher.

☐   I know the name and contact information for my local program's Professional Development Facilitator (PDF).

☐   I know the name and contact information for my regional Professional Development Consultant.

☐   My name and contact information has been sent to my regional Professional Development Consultant.

☐   I know how to access professional development in my program and region.

Revised: July 2007